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ABSTRACT

This eight-module unit was designed to acquaint the grantsperson with the proposal-writing process in relationship to the proposal narrative. Each module states its goal and objectives, and most discuss teaching strategies and include handouts. Module I, "Learning the Language of Grantsmanship," includes a pre- and post-test, a study guide, and a glossary of terms. Module II, "Functions and Principles of the Grant Proposal," discusses proposals and funding, the functions of the proposal, basic principles of proposal writing, and major components of proposals to government agencies and private foundations. Module III, "The Why Section of the Proposal," offers guidelines for the following components: the title page or cover sheet, abstract or proposal summary, introduction, problem statement or needs assessment, and rationale. Module IV, "The What Section of the Proposal," looks at how to write the program objectives section. In module V, "The How Section of the Proposal," guidelines are provided for sections dealing with program activities or methods, program management, program evaluation, dissemination, and the appendices. Module VI, "Future Funding and the Proposal Budget," includes information on funding requests and preparing a budget. Module VII presents "A Sample Proposal and Critique." Module VIII, "Evaluating a Proposal," provides a proposal checklist and evaluation form. Appendices include: a proposal development checklist, criteria for proposal review, and examples of shortcomings found in disapproved research grant applications. (LAL)

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WRITING A GRANT PROPOSAL--
THE PROPOSAL DOCUMENT

Eight Modules

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November 15, 1984

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PREFACE

This unit of eight modules is only one unit in a series of several written on grantsmanship and proposal writing. It is intended to be complete by itself, or when studied in relationship to the other units, the student should have a thorough understanding of the steps and procedures necessary to prepare, to write, and to see funded a winning grant proposal.

This unit concentrates on writing the proposal itself. It does **NOT** address:

pre-concept activities,
pre-proposal activities,
negotiating the contract,
implementing the project,
proporal review, or
report writing.

WRITING A GRANT PROPOSAL--
THE PROPOSAL DOCUMENT

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WRITING A GRANT PROPOSAL--
THE PROPOSAL DOCUMENT

PURPOSE: The purpose of this eight module unit is to acquaint the grantsperson with how to organize and manage the proposal writing process in relationship to the Proposal Narrative.

GENERAL GOALS: The general goals of this five-module unit are:

1. to enable to student to become conversant with the terminology used by grantspersons in grantsmanship.
2. to enable the student to identify the various parts of a good grant proposal narrative.
3. to enable the student to distinguish between a well written proposal and one not well written.
4. to enable the student to place the proposal-writing process in proper perspective with the process of applying for a grant.
5. to demystify and anesthetize the trauma of proposal writing through an understanding of its components and their functions.
6. to arm the student with "helpful hints" and "check-lists" for writing successful proposal narratives.

MODULE I

LEARNING THE LANGUAGE OF GRANTSMANSHIP

MODULE I

LEARNING THE LANGUAGE OF GRANTSMANSHIP

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MODULE I

LEARNING THE LANGUAGE OF THE GRANTSMANSHIP

GOAL: The goal of this module is to acquaint the student with the terminology used specifically in grantsmanship as the parameters around which grantspeople operate.

OBJECTIVES: At the conclusion of this module the student should be able:

1. to distinguish among a grant, a contract, and a loan.
2. to name at least three resources for finding out about grants and funding.
3. to name and to discuss at least five types of grants.
4. to discuss the terms relevant to foundations.
5. to discuss the terms relevant to grants.
6. to discuss the terms relevant to a proposal budget.
7. to discuss the terms relevant to the grant document itself.
8. to discuss the terms relevant to funding agencies.

LEARNING THE LANGUAGE OF GRANTSMANSHIP

TEACHING STRATEGIES

This module is centered around the Glossary of Terms which begins on page 16. This glossary has been developed as comprehensively as possible from major resources in the field. All exercises, lectures, handouts, and study guides are based on this glossary, and all answers to questions asked or to enable an instructor to develop a lesson plan can be gleaned from this glossary.

This study guide can be used in several ways:

FOR THE INSTRUCTOR: Use this study guide as the basis for developing a lesson plan in **GRANT LANGUAGE**. The study guide can serve as an outline for the lesson plan or as a handout to students.

The instructor has a pretest, answers, and a posttest available for this module.

FOR THE STUDENT: This guide can be used by students in one of three ways:

1. as a **STUDY GUIDE** for glossary of terms which this module is based upon.
2. as a **HANDOUT** by the instructor for student use.
3. as a **REVIEW** instrument for a student's mastery of the glossary of terms in preparation for an examination.

SELF-PACED STUDENT MATERIAL: This module can be used as self-paced individualized instructional material.

1. Take the pretest.
2. Score your answers in order to give you some idea of your knowledge in grantsmanship terminology.

3. Use the study guide as an outline for which you can study the glossary of terms.

4. Take the posttest.

5. Evaluate your mastery of the material:

90 - 100 = A Excellent

80 - 90 = B Good

70 - 80 = C Average

70 - = Below Average. Try again.

LEARNING THE LANGUAGE OF GRANTSMANSHIP

INTRODUCTION

Help! Panic! Headache! Defeatist attitude! I'd even consider a visit from my mother-in-law!

These are just some of the strange things that happen to you when you are faced with having to write a grant proposal. Your brain turns to mush. You are convinced that you can't do it. You find all kinds of things to do instead of getting down to the task at hand. Suddenly you feel your desk drawers really **NEED** cleaning out!

These are "normal" reactions to being faced with writing a proposal. Why is it such a miserable task? Maybe it is because we sense the power of well-conceived and well-written proposals, but we can't always grasp how they come about. We know that there is a systematic process to writing a good grant proposal, but often we do not understand the dynamics necessary to write a **winning** proposal. We are plain scared and in awe of the work which lies ahead in preparing a proposal. Either we are too new to the grantsmanship game and we do not feel confident enough to take charge of something as overwhelming as writing the Proposal, or we are too familiar with the process--we are burned out and cynical--and we tend to dismiss the proposal itself as a relatively insignificant part of grantseeking, insisting that contacts and connections are all that count.

Actually, there is some truth to both views. This first module will be devoted to establishing the parameters for grantspeople. It may be geared more for the novice than the experienced grantsman, but it will help define the areas and language that all grantspersons must operate within.

LEARNING THE LANGUAGE OF GRANTSMANSHIP

PRETEST

Match the following terms with the definitions given below. Each item is worth 4 points.

A. direct costs
B. RFP
C. target population
D. cost sharing
E. expendable supplies
F. indirect costs
G. public sector
H. audit trail
I. proposal
J. hard money
K. set-aside money
L. formative evaluation
M. preliminary proposal
N. discretionary funds
O. *Commerce Business Daily*
P. soft money
Q. in-kind match
R. seed money
S. principal investigator
T. *Federal Register*
U. block grant
V. unsolicited proposal
W. public interest
X. equipment
Y. matching funds
Z. foundation

_____1. an allocation of federal funds that may address several needs or problem areas identified by authorizing legislation; precise distribution of funds is determined by receiving agency.

_____2. a formal written document that provides detailed information to a funder on the proposed conduct and cost of a specific program or project.

_____3. participation by the grantee in the cost of a program on a dollar-for-dollar basis or other predetermined ratio or basis, such as 10 percent or 25 percent of the cost.

_____4. the documentation which can verify the accuracy of the records or accounts.

_____5. 1) an **endowment**, contributed by a donor, which is invested so as to realize an income from which grants are made; and 2) a board or committee that reviews proposals and decides where the money will be placed. There are two general categories: public and private. Private ones can be further subdivided into these types: general purpose, special purpose, family, and operating. Public ones are synonymous with community ones.

______6. the intended beneficiaries of a grant-supported service project. Also known as client population. A service project may have both direct and indirect beneficiaries.

______7. items which, when used, loose their identity and accountability, i. e., paper, ink, paper clips. These items cannot be accounted for after use and cannot be tagged with an identification number. These supplies usually refer to items of $100 value and below.

______8. publication of Department of Commerce that announces availability of contracts (RFP's) and recipients of contract awards from the federal government.

______9. daily publication of the federal government that reports the rules and regulations governing various programs.

_____10. government fund to be allocated by a federal agency, usually on the basis of competitive selection among a number of programs and purposes rather than according to any formula; the allocation results in contracts or grants.

_____11. individual designated by the grantee to direct the program or project being supported by the grant. This person is responsible to the grantee organization for proper management and conduct of the project or program. The grantee organization is responsible to the grantor. In some unusual cases, however, project directors and principal investigators may be made directly accountable to grantors.

_____12. budget item that represents the direct expenditure of funds for salaries, fringe benefits, travel, equipment, supplies, communication, publications, and similar items.

_____13. this term, which has come into common use in the last decade or so, denotes a certain type of firm, such as law office or an accountant, that would ordinarily be found operating in the private sector, usually as a profit-making organization, but which is devoted to serving public issues and low-income clients.

_____14. all the groups, agencies, departments, and other organizations that are supported by tax money and that exist to provide governmental and other public services. In the grants culture, this sector comprises federal, state, and local government, community foundations; and all nonprofit, tax-exempt organizations supported by tax dollars and providing public services.

_____15. stands for "Request for Proposal," which is a formal announcement from a funding agency inviting the submission of a proposal and specifying the requirements that the proposal must meet with respect to the objectives, scope of work, work plan, administration, timing, and reporting. This usually results in a contract as the mechanism for conveying the funds and sets forth the specific products that are to result from the program or project.

_____16. a one time gift of money to enable the grantee to initially begin the project. Further funding is up to the grantee to become self-supporting or to seek money from other sources. Start-up money.

_____17. dependable, long-term sources of funding.

_____18. budget item that represents costs incurred by the grantee in carrying out a program that are not readily identified as the direct expenditure of funds for goods and services, but which are necessary to facilitate and maintain the operations of the larger organizations sponsoring or carrying out the supported program. Examples are maintaining facilities, providing administration, and depreciation.

_____19. dollar value of noncash contribution to a program by the grantee or a party other than the grantee or grantor. Such a contribution usually consists of contributed time of personnel, equipment, supplies, and rent directly benefiting the grant-supported activity.

_____20. insecure funding. Usually available for no more than a year. Grant monies in general are referred to as this because of their nature of being temporary or insecure for any long length of time.

_____21. proposal sent to a government foundation or other funding source that is initiated by the applicant.

_____22. a measure to determine whether the methods and techniques--the "how" of a project's operations--have worked as they were intended. Conducted during and throughout the course of the project.

_____23. a brief, early draft of the proposal itself that is used to elicit feedback from the prospective funder so that the proposal may be more closely tailored to funder expenditures. Also known as a discussion paper, preproposal, or preapplication.

_____24. arrangement whereby the grantee shares in the total cost of a project; required for many federal research programs.

_____25. grant funds earmarked in advance for specific groups, or even specific single recipients, usually as a result of effective lobbying. One result of this type of funds is to limit competition and to increase legislative influence over grant allocations.

_____26. major items of purchase. Usually refers to items which can be tagged and which do not lose their identity when used. Items of significant costs, usually items over $500.

LEARNING THE LANGUAGE OF GRANTSMANSHIP

Answers to Pretest

1. U
2. I
3. Y
4. H
5. Z
6. C
7. E
8. O
9. T
10. N
11. S
12. A
13. W
14. G
15. B
16. R
17. J
18. F
19. Q
20. P
21. V
22. L
23. M
24. D
25. E
26. X

STUDY GUIDE

Grantsmanship Glossary of Terms

Use this guide as an outline to your study and understanding of the glossary of grant terms which follows. Refer to the glossary for answers to the questions.

1. What is meant by the term "grant"?

2. What is the difference between a "grant" and a "loan"?

3. Define and differentiate between the following types of grants:

- action
- block (bloc)
- capitation
- categorical
- challenge
- conference
- consortium
- construction
- demonstration
- discretionary
- feasibility
- continuing education
- fellowship
- formula
- matching
- planning
- project
- research
- service
- spin-off
- staffing
- study and development
- training

4. What is meant by:

   audit

   audit trail

   documentation

5. What is meant by each of the following:

   bidder's list

   public sector

   concept paper

   entitlement program

   contract

   in-kind contribution

   mainstreaming

   authorization

   principal investigator

   sole source

   target population

   peer review

   public interest

   boilerplate

   dissemination

   contingency funding

   matching funds

   letter of intent

   man-years

   Old Boy's Network

   site visit

   support services

   technical review

   human services

6. With respect to budget and funding, distinguish between:

   soft money and hard money

   direct costs and indirect costs

   fringe benefits and overhead

   hard match, soft match, and seed money

7. Distinguish between:

   equipment and supplies

   tax-exempt and nonprofit

solicited proposal and unsolicited proposal

unrestricted funds and restricted funds

discretionary funds and contingency funds

GANTT Chart and PERT Chart

8. Define and distinguish between the objectives of each of the following:

Commerce Business Daily

Federal Register

9. In relationship to funding agencies, define and discuss the objectives of each of the following:

COG

A-95 clearinghouse

guidelines

contract

joint funding

rules and regulations

OMB Circular

award notice

RFP

foundation

prior approval

defunding

10. Discuss what is meant by "expenditure responsibility".

11. Discuss each of the following terms in relationship to "Foundations":

bequest

donor control

endowment

990-AR

risk capital

client

vanity funding

giving pattern

payout requirement

12. Discuss each of the following terms in relationship to the grant document itself:

proposal
objectives
procedural objectives
budget
boilerplate
letter of intent
narrative
goal
behavioral objectives
milestone
concept paper
letter of support
level of support
needs assessment

13. Distinguish among these types of funding agencies:

government grants
foundations
nonprofit corporations

GLOSSARY OF TERMS

(This **Glossary of Terms** was prepared from the glossaries of the following resources: Leiferts, 1978: 146-53; Smith and Skjei, 1980: 245-64; Warren, 1980: 351-53; White, 1975: 293-94; EDGAR, 1982: 110-11.)

accountability--growing concern about the extent of human needs and the limitations of the financial resources available to meet them has placed increasing emphasis on keeping careful accounting of where grant money goes, how it is spent, and whether it seems to have had an effect on the problem it was intended to help resolve. The result has been increasingly stringent auditing and accounting requirements by grantors and more sophisticated evaluation designs written into proposals by grantees.

action grant--a grant made to explore an issue or to provide a service in a real-life setting. Usually distinguished from research grants, made for work to be conducted in a laboratory setting.

allocation--the designation of appropriated monies for specific programs or types of activity carried out by individual program offices.

A-95 clearinghouse--a mechanism requiring a range of local and state-level officials and service providers to look over and comment on applications being made to any of over 200 federal funding programs. This preliminary review--an early warning system--assures that proposed projects conform to Equal Opportunity and environmental protection legislation and, most important, that they do not duplicate other federally funded projects already in existence.

applicant--individual, agency, or organization seeking funds.

applied research--research undertaken in order to attempt to resolve human problems, rather than simple to add to the sum of human knowledge. See also **basic research.**

appropriation--congressional action setting aside funds earmarked for a particular federal agency or program.

approval/disapproval time--the length of time that it takes a funder to review proposals and to make decisions on them. The time can range anywhere from a few days to several months.

audit--a careful examination of records or accounts to check their accuracy.An audit usually is performed by an independent agent.

audit trail--the documentation which can verify the accuracy of the records or accounts.

authorization--legislation enacted by Congress that sets up a federal program or agency either indefinitely or for a given period of time. Such legislation may set a maximum amount that can be appropriated, but does not usually provide budget authority.

award--a grant.

awarding agency--funding agency that makes a grant.

award notice--formal written notification from a funding agency to a recipient, announcing that a grant has been awarded; also called "notice of grant award."

basic research--research oriented toward simply expanding knowledge rather than directed at solving a specific problem. The research that led to theories of nuclear fission was basic; building an atomic bomb was **applied research.**

begging or stealing--the two most common pathologies in the grants culture. Prospective grantspeople--at least those who do not understand the intrinsic logic of the grants system--invariably believe that anything that smacks so strongly of the free lunch must arise either from the funder's pity or stupidity, and that they should try to act accordingly.

behavioral objectives--your project is designed to try to get its clients to do something different (e. g., drink less alcohol). Behavioral objectives are usually stated in such a way that they can be measured both before and after the project's operation. See also **procedural objectives.**

bequest--a sum of money made available for a foundation's use upon the donor's death. See also **endowment.**

bidder's list--a list of qualified organizations maintained by government agencies for the purpose of sending organizations invitations to submit proposals and to bid on potential government contracts. Lists of bidders are used in determining to whom to send RFP's.

block grant--an allocation of federal funds that may address several needs or problem areas identified by authorizing legislation; precise distribution of funds is determined by receiving agency.

boilerplate--sections of any document, especially a proposal, that have been used and reused so often that they have become standardized elements that change very little if at all with each new use. Resumes used in personnel sections of proposals are a good example of boilerplate copy. To some degree, general boilerplate sections on what your organization is and how it operates are very useful because they save you the time and expense of redoing them for every new proposal submission.

budget--itemized list of expenditures and income that accompanies a narrative proposal.

budget period--interval of time (usually twelve months) into which a grant-project is divided for budgetary and reporting purposes.

business proposal--used by some government grantors to refer to a separate proposal covering the budget and business aspects of the proposal, as distinguished from the technical or programmatic aspects of the proposal.

capitation--payment per capita; used for a grant made to an organization on the basis of a given amount for each person enrolled or served, or potentially available to be served. The total amount of such a grant is the per capita amount granted multiplied by the number of persons served.

categorical--a grant similar to block grants, except funds must be expended within specific categories.

challenge grant--more commonly known as a **matching grant**. Challenge grants are offered by a funder with the express stipulation that the prospective grantee organization must locate another funder who will share a percentage (usually ranging from 10 to 50 percent) of the project costs. Federal grant programs use this provision to assure the participation of local resources in grant programs.

channeling--also known as **conduiting**, channeling occurs when an intermediary organization accepts funds from one grantor and passes them directly on to a predesignatee grantee. Typically, the intermediary has tax-exempt status, better credibility, and more visibility than the grantee, which might have difficulty qualifying for the funds if it applied to the funder directly. See also **sponsor**.

Circular A-110--Office of Management and Budget (OMB) circular that sets forth the federal standards for financial-management systems to be maintained by organizations receiving federal funds.

client--the individual or group who ultimately receives the services that the grant is intended to support.

COG--Council of Government. COG's are regional, voluntary associations of local governments that attempt to promote better communication with state and federal officials, to plan for a region's development, and work for better delivery of services. They often serve as the areawide **A-95 clearinghouse**, and may also play a direct and active role in helping groups obtain grants.

Commerce Business Daily--publication of Department of Commerce that announces availability of contracts (RFP's) and recipients of contract awards from the federal government.

CON--contract opportunity notice. A CON is a public notice issued by a funder, usually a government agency, stating that it wishes to procure a service. The CON describes the needed service and invites interested groups to submit statements describing their qualifications and past experience in the pertinent field. The CON is perhaps best through of as the preamble to the RFP, in that the description of the needed service is usually quite general and the requested qualification statements are only intended to weed out prospective contractors who are less qualified for the job. Frequently, a CON is issued even before the specific tasks to be performed by the contractor have been very well defined. On the other hand, RFP's usually identify the objectives, methods, and tasks in some detail as well as indicated the type of personnel to be included in the project staff and the general funding range available for the performance of the job.

conceiver--the person with the initial inspiration for the grant project. The conceiver is essential to the success of the grants search and the application process, since he or she provides the project;s central concept and can help bridge the inevitable gaps in communication that develop among the funder, the sponsor, the project's staff, community groups, and other elements in the **service delivery system.**

concept paper--a short document expressing the idea and/or problem for which a proposal will be written. It briefly describes the intended project.

conceptual dexterity--an important asset in the grants search is the ability to translate your ideas into the set of mental reference points that are familiar to your funder, sponsor, or clients. It means being able to think like they do, to speak their language.

conduiting--see **channeling.**

conference grant--a grant awarded to support the costs of meetings, symposia, or special seminars.

consortium grant--a grant made to one institution in support of a project being carried out through a cooperative arrangement between or among the grantee institution and one or more participating institutions.

construction grant--grant made for and limited to construction, modernizing, or expanding a physical facility.

contingency funding--support offered with a catch--you have to comply with certain requirements before you can qualify for the money. For example, all federal funding above a certain minimal level is contingent on compliance with Equal Opportunity and environmental protection laws.

continuing education grant--a grant made to provide support for additional training or education or to update training in specific fields.

continuing resolution--congressional authority action to agencies to continue operations in the event that action on appropri-altions is not completed by the beginning of the fiscal agency.

contract--legal agreement between the grantee and grantor establishing the work to be performed, products to be delivered, time schedules, financial arrangements, and other provisions or conditions governing the arrangement.

contractor--organization under a contract to the funder to perform specific work.

cost-benefit--actually, this is a complex concept, and its economic and social ramifications are abstract and detailed. At its simplest, it connotes a concern for getting the most and best service for the least cost, but this obviously can be a difficult matter to judge. If a project is considered to have juggled quality, cost, and quantity well, it is deemed "cost-effective."

cost-type contract--a contract or subcontract in which the contractor or subcontractor is paid on the basis of the costs it incurs, but the term does not include such subcontracts under a non-cost-type contract or subcontract.

cost overrun--difference between original estimated cost and the cumulative total of a cost-reimbursable contract.

cost-plus contract--contract that provides for reimbursing the contractor for allowable costs that were incurred, plus a fixed fee or amount. Normally used with profit-making organizations; also known as cost-plus fixed-fee contract.

cost proposal--separate proposal covering the budget, financial, and business aspects of the proposal; also called business proposal.

cost-reimbursement contract--contract that provides for payment to the contractor on the basis of actual allowable costs or expenditures incurred in performing the scheduled work.

cost sharing--arrangement whereby the grantee shares in the total cost of a project; required for many federal research programs.

Council of Governments-- see **COG**.

data analysis--what you do with the information you have collected in order to make sense of it.

data collection procedures--systems established, usually at the start of a project, to keep track of project operations so that its **effectiveness** and **efficiency** can later be analyzed.

defunding--a bureaucratic, euphemism meaning "You've lost your money. . .the auditors gave you an F."

deinstitutionalization--the subject of a new trend in granting. It refers to the activity of transferring dependents out of state-supported institutions where they are forever stigmatized as outsiders, and into the mainstream. See **mainstreaming**.

demonstration grant--grant made to support the demonstration and testing of the feasibility or piloting of a particular approach to service delivery, research, training, or technical assistance.

direct assistance--grant under which goods and services are furnished in lieu of cash; it can be in the form of personnel, supplies, or equipment.

direct costs--budget item that represents the direct expenditure of funds for salaries, fringe benefits, travel, equipment, supplies, communication, publications, and similar items.

discretionary fund--government fund to be allocated by a federal agency, usually on the basis of competitive selection among a number of programs and purposes rather than according to any formula; the allocation results in contracts or grants.

discretionary grant--a grant made in support of an individual project in accordance with legislation which permits the grantor agency to exercise judgment in selecting the project, the grantee, and the amount of the award.

dissemination--the act of seeing that the results of the project are made widely available so that others may learn from it. Because information networks among grantees, among funders, and between these two groups are very informal and fragmented, this is still one of the weaker areas of the grants world. Typical modes of dissemination include reports, journal articles, addresses at conferences, newsletters, service directories, press releases, and so forth.

documentation/record-keeping--the paper trail that any project generates in keeping track of its staff, clients, services, and budget. Documentation is the raw material used to evaluate the success of a project, or, if success was not attained what actually happened.

"Doing your homework"--means seeing to it that you have looked into the available resources to gather as much basic information as you can before you approach a funder. You come across as being much more believable if you have already devoted the time required to visit libraries, read some annual reports, make some calls, and talk to people in the field. Similar to the concept of "paying your dues."

donor control--something of an issue in the foundation world. One camp believes that donors should have relatively little to say about where their money goes, since they tend to indulge their biases and give very idiosyncratically. (See also **vanity funding**). This party points to the example of community foundations and argues that decisions about the distribution of grant funds should be made by a committee composed of representatives of the community, who, it is claimed, have a better grasp of the community's needs than the donor usually does. The opposing point of view is that donors who in the past have kept careful control over the eventual allocations of their gifts have neither a worse not a better record for making good grants than any other group does. In fact, say advocates of donor control, the donor frequently in much more willing to risk his or her funds on genuinely innovative grant projects.

ED--stands for the U.S. Department of Education.

Edsel's Law of Grants--"When the Ford Motor Company produced an Edsel, lack of market response quickly forced them to stop manufacturing it. But when the Ford Foundation funds an Edsel of a grant idea, there's nothing to prevent them from continuing to make the same kind of grant for years and years and years." (Kenneth E. Boulding)

effectiveness--does it work? Does it have an effect?

efficiency--how well does it operate? Are its procedures and methods smooth, or do they involve a lot of wasted motion and duplication of effort?

endowment--the sum of money that is made available to a foundation by a donor and is then invested so as to provide funds out of which grants are made, taxes paid, operating expenses met, and so forth.

entitlement programs--programs for which the federal government is obligated to make payments to eligible programs and/or participants, according to legislatively prescribed criteria. Examples are Social Security, G. I. Bill, and Medicare.

equipment--major items of purchase. Usually refers to items which can be tagged and which do not lose their identity when used. Items of significant costs, usually items over $500.

evaluation--the process of comparing what a project set out to do with what it actually accomplished. Evaluations are undertaken for the sake of learning what happened in the hopes that grantmaking, service delivery, and project management techniques can be improved. Evaluations used to be performed rather informally and discursively, but in the last decade or so have become something of a technical art.

exemplary project--a funder may designate one project as an example of how others should be run. Usually, this means that other practitioners in the same field become very interested in finding out as much as they can about the project so that they can refine their own funding strategies. See also **model/demonstration project.**

expendable supplies--supply items which, when used, loose their identity and accountability, i. e., paper, ink, paper clips. These items cannot be accounted for after use and cannot be tagged with an identification number. These supplies usually refer to items of $100 value and below.

expenditure responsibility--because the IRS wants to insure that the foundation concept is not abused by affluent individuals who might be tempted to turn it into a tax dodge, it has imposed some fairly stringent restrictions on private foundations in guidelines promulgated under the 1969 and subsequent Tax Reform Acts. One of these makes a funder legally liable if its grants, which are of course supposed to be made for philanthropic purposes, are instead made for private gain or for more than a small amount of political lobbying. Specifically, the IRS has taken the position that private foundations should only make grants to groups that either already have tax-exempt status or could qualify for it if they applied. Otherwise, states the IRS, foundations have to assume the responsibility of seeing that the expenditures are made for suitable charitable, religious, or educational purposes, and not for private gain or political activities.

This restriction does not apply to community foundations, which are by definition tax-exempt, so inventive private foundations have been known to work out arrangements with cooperative community foundation who are willing to assume enough of a role in making the grant so that even if it goes to a group without a tax-exemption, no expenditure responsibility is incurred by the private foundation.

Expenditure responsibility is one of the most compelling reasons why a new grantseeking group needs to hook up with a credible sponsor, preferably one with tax-exempt status. It is more difficult to get most private foundations to listen to you if you are not tax-exempt.

feasibility study--a project whose objectives are to examine a plan to determine the practicality of implementing the plan or the effectiveness of continuing the research.

Federal Register--daily publication of the federal government that reports the rules and regulations governing various programs.

fellowship--grant to support individual training to enhance the individual's level of competence in a particular field.

fiscal year--an accounting period for the federal government that begins October 1 and ends September 30. The fiscal year is designated by the calendar year in which the fiscal period ends.

fixed-price contract--contract in which a fixed total amount is paid on the basis of delivery of a satisfactory product, regardless of the costs actually incurred by the contractor.

formative/process evaluation--determine whether the methods and techniques--the "how" of a project's operations--worked as they were intended. Formative evaluations are conducted during and throughout the course of the project.

formula grant--grant in which the funds are made available on the basis of a specific formula used by the granting agency and prescribed in legislation, regulations, or policies of that agency. Formula grants may make funds available on the basis of population characteristics (i. e., two dollars for each person in a county age sixty-five and over), or on the basis of the proportion of the population in a certain area to that of the total population to be served (i. e., ABC State represents 20 percent of the U. S. total population), or on the basis of numbers of people served (i. e., $20 for each person enrolled in a program).

foundation--a foundation is in essence: 1) an **endowment**, contributed by a donor, which is invested so as to realize an income from which grants are made; and 2) a board or committee that reviews proposals and decides where the money will be placed. There are two general categories of foundations: public and private. Private foundations can be further subdivided into these types: general purpose, special purpose, family, and operating. Public foundations are synonymous with community foundations.

fringe benefits--amount paid by the employer for various employee benefits such a social security, health insurance, retirement, and other insurances. Usually included in a budget as a percentage of total salaries.

funder--any person, institution, or agency that makes grants. Usually subdivided into three major categories: government, foundations, and corporations.

funding cycle--the pattern of announcement, proposal review, and grantee notification that characterizes any funder. Government agencies frequently operate according to firmly established deadlines, and their funding cycles tend to be structured around those deadlines. Foundations may also make grants at set intervals, or they may be continuously involved in review and notifications, that is, they may operate under a funding cycle that is essentially continuous.

funding period--the length of time that the grant covers; most often one year, with a possibility of renewal. Rarely more than three years.

GANTT chart--timetable in chart form, showing the various activities included in a proposal, with indication of the length of time elapsing from the start to the end of each activity.

giving pattern--the overall configuration of the kind of projects that the funder has supported in the past, where they are located, how much money they have received, and what kind of organizations have conceived, sponsored, and managed them. Knowing a funder's past record of granting is the best way to predict the likelihood of its approving your own grant application.

goal--the broad, general, all-inclusive social change that the grant is intended to foster and the project is designed to help achieve. How the world would be different if the project succeeded in completely realizing your vision. Sometimes differentiated from **objective.**

"Good Old Boys'" network--there is usually an insider's circle, in any field, of people who have known one another for years and can thus communicate among themselves quickly, informally, and efficiently. Such networks can be used in a good way, to reinforce more elaborate formal procedures, to spread news rapidly, or to cut through unnecessarily cumbersome procedures. However, they can also be used in a negative way, as happens when outsiders are tacitly but effectively excluded from serious grant competitions for very biased or personal reasons.

grant--sum of money comprising an award of financial assistance to recipient individuals and organizations. This money does not have to be paid back to the supporting agency.

grantee--individual, organization, or entity receiving a grant and responsible or accountable for that grant.

grantor--agency (government, foundation, corporation, nonprofit organization, individual) awarding a grant to a recipient.

grant-supported activities/project--activities specified in a grant application, contract, letter of approval, or other document that are approved by a funding agency as the basis for awarding a grant.

grants-in-aid--a synonym for **grant.**

grantsmanship--the knack of knowing where the money is and how to get at it. The term is often used with the same pejorative connotation as "gamesmanship," when it implies that grants are awarded less on merit than on the ability of the applicant to manipulate the funder.

grants-management officer--official of a government funding agency or foundation who is designated as the responsible person for the business and financial aspects of a particular grant. This person is usually expected to work in collaboration with the grantor's program/project officer. The grants-management officer is the grantor's counterpart of the grantee's business and financial manager.

green money--see **hard match.**

grievance procedure--it is a little-known fact that federal granting programs have established grievance procedures for applicants who are turned down. Foundations will also usually try to give you additional feedback on your declined proposal if you request it tactfully. Do not file grievances whimsically or vindictively--use them to learn in more detail just what it was that did not work in your approach, or use them to argue, if you are in a position to prove it, that those who did receive the grants are less qualified or capable than you are, to proved that the funder's granting pattern shows a clear bias in favor of one group or type of grantee.

guidelines--set of general principles specified as the basis for judging a proposal. Funder's guidelines specify which requirements the proposal must meet with respect to both its content and its form.

hard match--money, rather than facilities or services. See also **matching; soft money.**

hard money--dependable, long-term sources of funding.

human services--in order to distinguish funding programs that concentrate on providing certain kinds of services to people from those that, for example, support research or construction projects, government organizations have in the last few years begun to lump all of their social service activities under the heading "human services," or "human care services." The category is very broad, of course, but some typical kinds of actual services provided under this heading may include child-care referral systems, nutritional counseling for the elderly, battered women's refuges, equal opportunity advocates, and so on.

impact--effect, result.

implemented--actually put into practice or operation.

indirect cost--budget item that represents costs incurred by the grantee in carrying out a program that are not readily identified as the direct expenditure of funds for goods and services, but which are necessary to facilitate and maintain the operations of the larger organizations sponsoring or carrying out the supported program. Examples are maintaining facilities, providing administration, and depreciation.

in-kind contribution--dollar value of noncash contribution to a program by the grantee or a party other than the grantee or grantor. Such a contribution usually consists of contributed time of personnel, equipment, supplies, and [illegible]ent that directly benefit the grant-supported activity.

joint funding--it is not uncommon for grant projects to be supported by more than one funder, each of whom may either provide support for one self-contained component of the overall project or who may contribute to a common pool of grant funds.

letter of intent/inquiry--your first contact with a prospective funder often takes this form rather than a phone call. You briefly state your intention to apply for its funds and give a very brief idea of the nature of your planned project. This usually means that the funder will sent pertinent guidelines and other information back to you, and will also probably open a file on you.

letter of support--written statements attached to the back of proposals. They are provided by organizations and individuals who endorse your project's efforts and who are considered credible in the eyes of the funder. The best letters of support are much more than mere testimonials; they actually spell out in just what ways the established group is willing to help you out.

level of effort--estimated amount of time of personnel required to carry out a program,. project, or activity usually expressed in man-years, -months, -weeks, -days, or -hours.

leveraging--using one grant to get another. Also known as dominoing and **pyramiding**.

loan--an amount of money lent to an individual or an organization, usually with interest, with the intent that it is to be paid back. This is not a grant as is defined in grantsmanship.

local government--units of government below the state level such as counties, cities, towns, townships, school districts, and federally reorganized Indian tribal governments.

local planning agencies--known as LPA's, these are agencies designated as the official responsible recipients for certain types of grants.

mainstreaming--bringing a disadvantaged client group our of its excluded status and back into the central current of socioeconomic events. Originally meant as the process of shifting children our of special education classes and into the regular classroom, the term has now acquired broader connotations and is liberally used to refer to the reintegration of any group that has traditionally been set apart from society, for whatever reasons. See **disinstitutionalization.**

maintenance of effort--requirement of some grantor programs that a grantee must maintain a specified level of activity and financial expenditures in a specified geographic or programmatic area in order to receive a grant. This is intended to assure that grant funds will not be used to replace or supplant funds already being expended by the grantee.

man-years--indicates the level of effort to be expended. A sexist term, being replaced by "person-years."

matching--participation by the grantee in the cost of a program on a dollar-for-dollar basis or other predetermined ratio or basis, such as 10 percent or 25 percent of the cost.

milestones--timetable indicating the completion of the activities or events included in a proposal.

model/demonstration project--a project that obtains funding with the express intention of being established so as to prove an untried idea, set an example, and make the result available to others in the same or related field.

narrative--the explanatory prose portion of a proposal that supplements the application form in many federal grant programs.

needs assessment--this is perhaps the most critical component of the proposal, the section that answers the question, "Why is this project needed?" It should provide a rationale, hopefully a persuasive one, for the funder's consideration. Good needs assessments not only point our what the needs are, and why remedies for them are needed, but they also back up these assertions with the judicious use of quantitative data.

990-AR--form of the annual reports that foundations submit to the Internal Revenue Service and to state attorneys general.

nonprofit corporation--this is the predominant organizational form of grant recipients. Nonprofit corporations, like other corporations, must have officers, a board of directors, and a set of by-laws, but they do not pay dividends from profits or invested capital. In most states, the Attorney General regulates the formation and activities of nonprofit corporations. Creating the nonprofit corporation is usually the first step in seeking tax-exempt status.

notice of grant award--formal written notice from the grantor that specifies the amount of the grant, time period, and special requirements.

objectives--the proposal's **goals** must be translated into specific, quantified targets or levels of achievement in order to provide a set of criteria by which the success or failure of the project can be judged. Objectives set forth desired changes in terms of numbers of clients, the level of activity or skill, and deadlines.

offeror--organization that is submitting a proposal on and bidding on an RFP.

OMB circulars--instructions, guidelines, and directions, issued to all federal grantmaking programs by the Office of Management and Budget, the supervisor of federal granting activities and source of the Catalogue of Federal Domestic Assistance. Since the objective of most OMB circulars is to set standards for federal grantmakers, it is to your advantage to keep track of what they have to say.

overhead--see **indirect costs.**

packaging--the art of presenting the basic elements of your proposal in such a way as to respond most appropriately to the varying priorities, goals, and guidelines of different funders.

pass-through agency--another name for **conduiting** and **channeling** agencies.

payout requirement--the 30,000 private foundations in the country are legally required to make grants each year in an amount equal to the net return on their investments or 6 percent of the total value of those investments, whichever is larger.

peer review--critical reading of a proposal or contract by reputable practitioners and others conversant with the field it addresses, who are in a position to judge the competence of the applicant. See also **technical review.**

person-years--used to indicate the level of effort of a given person or in the aggregate for an entire project in terms of years of work to be expended. For example, "The project will require a total of six person-years over a twelve-month period."

PERT--stands for Program Evaluation Review Technique, which is a schedule of events and activities included in a project indicating the period of time elapsing between events and the relationship of events to each other.

planning grant--grant intended to support activities necessary to design and plan a particular program or project, to design and plan programs in a particular geographic area and/or a particular field of service, or to engage in interagency planning and coordination. Planning grants often include research, study, coordination, community participation, community organization, and education activities as components of the planning activities.

preliminary proposal--a brief, early draft of the proposal itself that is used to elicit feedback from the prospective funder so that the proposal may be more closely tailored to funder expenditures. Also known as a discussion paper, preproposal, or preapplication.

principal investigator--see **program director**.

prior approval--written permission from a granting agency (usually a governmental funder) for a grantee to expend funds or perform or modify certain activities when this is a requirement of the grantor. An approved budget is, in effect, prior approval; approval of a revised budget or written request to make program modifications is also a form of prior approval.

procedural objectives--your project will cause a process to change (e. g., simplify welfare intake procedures). See also **behavioral objectives**.

profile of funder--this is one of the later stages in the grants search, which occurs once you have identified your project idea, made it a fundable one, and worked out a general sense of which areas of the funding world would be most appropriate for you to approach.

program director--individual designated by the grantee to direct the program or project being supported by the grant. Also known as "project director" of "principal investigator." This person is responsible to the grantee organization for proper management and conduct of the project or program. The grantee organization is responsible to the grantor. In some unusual cases, however, project directors and principal investigators may be made directly accountable to grantors.

program/project costs--direct and indirect cost incurred in carrying out a grant-supported program or project. In the case of some grantors, only the cost estimated in the approved budget may be incurred by the grantee as allowable expense related to the grant.

program or project officers--usually refers to the official in a governmental funding agency or in a foundation who is responsible within that agency for a grant project or program. In some cases this person may, in addition to supervision of technical and program aspects of the grants, be responsible for administrative and financial aspects of the grant. This latter function is more frequently the responsibility, at least in federal agencies, of a second person (called the grants-management officer).

program/project period--total time over which the grant is to be expended.

project--see **discretionary grant.**

proposal--formal written document that provided detailed information to a funder on the proposed conduct and cost of a specific program or project.

provider--the agency or corporation that actually dispenses the services supported by the grant to the **client** group.

public interest--this term, which has come into common use in the last decade or so, denotes a certain type of firm, such as law office or an accountant, that would ordinarily be found operating in the private sector, usually as a profit-making organization, but which is devoted to serving public issues and low-income clients.

public sector--all the groups, agencies, departments, and other organizations that are supported by tax money and that exist to provide governmental and other public services. In the grants culture, the public sector comprises federal, state, and local government, community foundations; and all nonprofit, tax-exempt organizations supported by tax dollars and providing public services.

pyramiding-- see **leveraging.**

reimbursement formula--basis for a grantor providing funds to a grantee in cases where funds are to be granted according to some formula related to population, services rendered, or proportion of the budget to be shared by the grantee.

request for applications--RFA. See **RFP.**

request for proposals--see **RFP.**

research grant--grant top support research in the form of studies, surveys, evaluations, investigations, and experimentation.

revenue sharing--federal program providing more or less automatic federal assistance to states and localities for broad general purposes and with limited federal control.

RFA--request for application. Same as RFP.

RFP--stands for **request for proposal**, which is a formal announcement from a funding agency inviting the submission of a proposal and specifying the requirements that the proposal must meet with respect to the objectives, scope of work, work plan, administration, timing, and reporting. An RFP usually results in a contract as the mechanism for conveying the funds and sets forth the specific products that are to result from the program or project.

risk capital--it is common practice for business ventures to devote some percentage of their profits to exploring risky options. Most of these turn out to be blind alleys, but the rare one that proves feasible can be a gold mine. The same principle should apply to public service organizations, which often can afford to indulge in experimentation only if they get a grant.

rules and regulations--federal guidelines, published in the Federal Register by the executive departments and agencies of the federal government, that implement a legislative act and govern the individual grant programs.

sacrifice trap--a characteristic neurosis of grantsmakers favoring the Old Boys who get funded year after year. It refers to the tendency of grantors to refund their grantees, because if they do not, they would feel that they made a mistake in giving the grant in the first place.

seed grant/money--a one time gift of money to enable the grantee to initially begin the project. Further funding is up to the grantee to become self-supporting or to seek money from other sources. Start-up money.

serendipity effect of grants--an unanticipated positive result. Grant projects rarely wind up having done exactly what they set out to do. Whatever they produce on the plus side that is unexpected is due to the serendipity effect. (The term was coined by Ruth Chance, ex-director of the San Francisco Rosenberg Foundation.) See also **spinoff projects**.

service delivery system--the network of organizations with a past or current record of attempting to address the problem

spinoff projects--in attempting to respond to identified needs, grant project often unearth new, previously unrecognized needs, and thus generate the rationale for new projects, which in their implementation share the resources developed in the initial grant project.

sponsor--an agency or institution that undertakes to assist and support a grantee by offering it credibility and perhaps also services or space, but not money. The role of the sponsor is a much more active one than is performed by **channeling** or **pass-through agencies**. Also known as fiscal agent.

staffing grant--a grant made to an institution to provide support for salaries of professional and technical personnel and their inservice training. See also **capitation grant**.

stipend--payment to an individual, usually as part of a training or fellowship program.

study and development grant--a grant awarded to study and develop innovative and experimental programs leading to the establishment of a permanent component.

summative/product evaluation--determining whether the intended results--the "what" of the project--occurred.

supplemental appropriations--additional funds for programs that were not covered in the regular appropriations bill, usually due to lack of authorizing legislation.

support services--those functions in an organization that exist to help other, primary functions do whatever it is that the organization is designed to do. For example, in an engineering office, support services might include a technical library, drafting, accounting, report preparation, and so forth.

target population--the intended beneficiaries of a grant-supported service project. Also known as client population. A service project may have both direct and indirect beneficiaries.

tax-exempt--a cherished status, something of a seal of approval, bestowed by the IRS and the individual states on organizations that have adequately demonstrated their charitable, educational, religious, scientific, or literary nature. By far the largest part, but not all, of tax-exempt organizations are **nonprofit corporations**. Others include trusts and benevolent associations.

technical assistance--information and training services provided by the funder to grant applicants that improve the quality of proposed projects as well as broaden the range of people who have access to the funder's grant programs. TA, as it is most commonly known, can range from simply mailing out rules and regulations to applicants to much more active roles, such as actually taking a hand in the proposal writing process, or even seeking out promising grant candidates and helping them to apply. Technical assistance from one funder can frequently be used to help you get a grant from another funder. If they cannot get you money, they can at least tell you how to get it from someone else.

technical proposal--used by some governmental grantors to refer to the narrative proposal that covers all aspects of the proposal except the budget and financial and business information (which is to be included in a separate business proposal).

technical review--critical reading of a proposal or contract by specialists within its content area, to determine its congruence with the state of the art. See also **peer review**.

third party--organization or individual other than the grantee or grantor who is involved in a supported program.

training grant--grant to support training of staff, students, prospective employees, program participants, or designated populations.

unexpected funds--what is left in a funder's grantmaking budget as the year draws to a close. There is usually increasing pressure to disburse these funds before a new funding cycle begins. This pressure may result in a last minute giveaway of the funds (also known as a "fourth-quarter throwaway").

unobligated balance--amount remaining of a grant at the end of the grant period against which there will be no expenses. Such balances, at the discretion of the grantor, may have to be returned, or they may be used as a deduction from the next grant (a continuation) if there is one, or carried over to the next continuation period as an addition to the next grant.

unrestricted funds--grants made without prior stipulations as to their use, to be spent as the grantee sees fit. See also **discretionary funds**.

unsolicited proposal--proposal sent to a government foundation or other funding source that is initiated by the applicant.

vanity funding--funding motivated by a desire to gratify the funder's ego and dramatize his or her existence rather than be genuine altruism.

wired--term indicating that the selection of an organization to receive a grant has been decided prior to the submission of the competing proposal.

LEARNING THE LANGUAGE OF GRANTSMANSHIP

POSTTEST

1. Distinguish between

direct costs

indirect costs

2. Distinguish between

soft money

hard money

3. Discuss the following two resources:

Commerce Business Daily

Federal Register

4. What is the difference between a **solicited** proposal and an **unsolicited** proposal?

5. What is the difference between **restricted** funds and **unrestricted** funds?

6. Distinguish between overhead and fringes.

7. Define each of the following terms:

foundation

nonprofit corporation

audit trail

guidelines

contingency funding

appropriation

authorization

discretionary funds

public interest

boilerplate

8. Define and discuss each of the following types of grants:

construction

feasibility

basic research

model/demonstration

challenge

MODULE II

FUNCTIONS AND PRINCIPLES OF THE GRANT PROPOSAL

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FUNCTIONS AND PRINCIPLES OF THE GRANT PROPOSAL

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MODULE II

FUNCTIONS AND PRINCIPLES OF THE GRANT PROPOSAL

GOAL: The goal of this module is to acquaint the student with the overall functions and general principles of the grant proposal.

OBJECTIVES: At the conclusion of this module, the student should be able:

1. to list and discuss the fivefold function of a grant proposal.
2. to list and discuss the four basic principles of proposal writing.
3. to discuss the use of a recurring theme throughout a proposal.
4. to discuss the difference between the funding purpose for as porposal between a foundation and a government source.
5. to identify and define the major components of a government proposal.
6. to identify and define the major components of a proposal to a private foundation.
7. to become familiar with the abuse of jargon in a proposal.

MODULE II

FUNCTIONS AND PRINCIPLES OF THE GRANT PROPOSAL

TEACHING STRATEGIES

This module presents an overview of the **Functions and Principles of the Grant Proposal.**

FOR THE INSTRUCTOR: This module can be used as the basis for developing a lesson plan on the overall functions and principles of the grant proposal. There is textual material and student handouts at the disposal of the instructor.

FOR THE STUDENT: This module can be used by the student either:

1. as a **STUDY GUIDE** for use in a classroom setting, or
2. as **SELF-PACED INDIVIDUALIZED** material.

In studying for an examination, go over the module objectives and try to answer then as questions.

MODULE II

FUNCTIONS AND PRINCIPLES OF THE GRANT PROPOSAL

OVERVIEW

Grant proposals don't just happen. They are products of a long process of thinking, weighing needs and solutions, discussions, research, writing, and rewriting. A proposal should reflect thoughtful planning of an applicant seeking funds from a grantsmaking agency. Too often, though, this is not the case. Why? Perhaps because the applicant does not know what questions to ask of the agency. Perhaps because there is little time allowed or taken for the process. Or perhaps because the agency does not know how to plan for the most effective use of its resources.

A proposal written in a clear, understandable, somewhat standardized format will help meet the requirements of most funding agencies, and will help relay the story of your institutions ideas to them. As an organizational planning instrument, it will help you to identify deficiencies in your institution's planning. Organizations that provide sufficient time and support to the program planning and proposal writing process can derive many benefits beyond the funds awarded. These can include:

- -- improved record-keeping systems
- -- enhanced credibility
- -- clarity of goals
- -- the development of tangible objectives
- -- increased knowledge in the program area
- -- better program evaluations
- -- better financial management.

PROPOSALS AND FUNDING

The most obvious use of proposals is to secure outside funding. But it is necessary to understand the funding source with which you are dealing to determine the importance of the proposal in a given situation. Usually the less sophisticated the funding source, the less important is the proposal. Smaller, unstaffed foundations rarely fund on the basis of unsolicited proposals received in the mail; with them, personal contacts and organizational credibility are essential. Even with more sophisticated foundations and corporations, most grants are also made to organizations with which there has been prior contact--some meeting, or referral. Even here, unsolicited proposals are bucking the odds.

Even funding sources of lesser sophistication may gamble on your credibility, the sophisticated, no matter how you get their attention, fund only after seeing a coherent plan. It is then that the quality of your proposal becomes an important consideration.

With many government funding sources, there is little opportunity for discussion or negotiation prior to submitting a proposal. Here a powerful proposal becomes even more critical to funding. To sum up: **don't assume that an outstanding proposal is the key to funding.** Its importance depends on the funding sources. But, no matter to whom you're talking, it's always best to have a solid plan on which to base any discussion of funding.

The proposal format discussed in this module and each module in this unit is not a magic formula. It is just an orderly way of organizing your thinking in regard to a program or activity that you plan. Use the format to develop your plans. Then draw from the plan what is needed for any specific grant application.

For Foundations

When applying to a foundation or corporation, you will almost always be asked for a brief letter telling who you are, describing your plan, and specifying the amount of funding you seek. Use this format to structure that letter. **The letter is a proposal.** Limit yourself to about three pages of narrative (delete the component headings). Be sure that the letter addresses any **specific** questions asked but the foundation. This letter would usually be signed by the chief executive officer, executive director, or president of your organization and would be accompanied by a "cover letter" signed by the chairperson of your organization's board of directors. In addition, the foundation will usually request:

-- a copy of your total annual budget for the past year,

-- an audited financial statement,

-- your IRS Letter of Determination (if you are a non-profit organization,

-- perhaps a few letters of support, and

-- an annual (or comparable) report, if you have one.

For Government Funding Sources

While few foundations or corporations have grant application forms, government agencies have them in ample supply. **Follow their instructions.** Although the format discussed here is consistent with those of most government agencies, it should not be substituted for those instruction that such an agency provides. If you don't understand the instructions, ask for clarification. At the same time ask the agency if it uses a score sheet and, if it does, request a copy. Many government agencies use score sheets and attach points on a weighted basis to different components of a proposal. Having their score sheet in front of you can put a different perspective on the development of your proposal. (Kiritz, 1979: 34-35)

THE FIVEFOLD FUNCTIONS OF THE PROPOSAL

Understanding the basic functions of any proposal will prepare you to communicate with others about your project in a much more fluid way. It gives you command over the range of possible perspectives that may be brought to bear by funders, sponsors, clients, and staff members on what you are doing. It gibes you access to their points of view and allows you to interpret the raw material of your vision appropriately for different audiences.

There must be an appropriate balance in the relationship among these basic, central elements and your treatment of them. If you place too much emphasis on the sales function, the design will finally come across as weakly planned, not implementable, and perhaps cynical. There is a tendency for proposals like this to become overly dependent on one funder.

If you give too much emphasis to the concept, the proposal will seem too remote from practical, "do-able" reality. Too much emphasis on the plan, the systematic nuts and bolts of grantgetting, will make your proposal too rational. Understanding the many facets of the proposal places you in the center of its design, a position from which you will be able to turn to meet new questions, speak meaningfully to divergent points of view, and coordinate the participation of others who may join you in the writing. Therefore, the fivefold functions of the proposal are:

1. **The Proposal as a Sales Piece.** The first thing a good proposal must do is build a link between the funder's orientation and yours, between what he needs and what you have to offer.
2. **The Proposal as a Concept Paper.** Second, the proposal should tersely describe you concept: why, what, and how. This is the broadest function that the proposal serves, that of plain description of what it is you

have in mind, why it is important or interesting, who will benefit from it, and why it is the best possible approach to making the changes you want to bring about.

3. **The Proposal as a Plan.** Third, a proposal is a step-by-step working plan, showing in as much detail as necessity what objectives you will be shooting for, the specific tasks these objectives imply, how long it will take you to accomplish the, what kind of organizational structure and staffing you will need, and what the whole process will cost.

4. **The Proposal as an Agreement.** Fourth, the proposal is a legal agreement, almost a contract, outlining specifically what the funder will be getting in return for writing our a check.

5. **The Proposal as an Evaluation Design.** Finally, the proposal constitutes the basis for evaluating the project. Since it gives a clear and detailed picture of your intentions, it is the most logical yardstick to use when the project is underway and once it is ended to judge how well you have measured up to expectations. (Smith and Skjei, 1980: 170-72)

SOME BASIC PRINCIPLES OF PROPOSAL WRITING

1. **The Proposal should be Neat, Clean, and Easy to Read!**
    - There should be no typographical errors.
    - Send an original, with copies only if the funding source requests them.

- Break up the copy; no one likes to read a document that goes on and on without headings.
- Don't use extravagant packaging. Spiral bindings are made to be cut apart. If your use an expensive binding, you give the funding agency the idea that you are wasteful.
- If you use an unusual format you run the risk of focusing too much attention on the form and not enough on the content.

2. **Write Your Proposal in English.**
   - Do not use jargon unless it is limited and fully understood by the funding agency. Too often the reviewers of proposals are laymen and are not familiar with the jargon used.
   - Test the clarity of your proposal by having colleagues and outsiders read and react to your proposal. (See Handout: How to Win at Wordsmanship.)

3. **Make It Brief.**
   - A proposal should be just long enough to get your point across in an understandable manner.

4. **Be Positive.**
   - Writing a proposal is not like writing home for money. You don't have to apologize. You're an applicant, not a supplicant!
   - Don't beg! Remember, a funding agency gets its credibility from funding winners, not losers.
   - Don't call attention to your mistakes.

5. **Avoid Unsupported Assumptions.**
   - Present enough evidence and documentation in support your ideas, but don't overkill!
   - Unsupported assumptions usually fall into these categories:
     - The funding source is told nothing about the applicant agency because the grant seeker is sure that the funding source knows all about them.
     - The national scope of a problem is described, but there is not documentation of its

existence in the community served by the grant seeker.

-- A casual relationship between events is presumed, but no evidence of cause and effect is presented. (Kiritz, 1979: 33-35)

MAJOR COMPONENTS OF A PROPOSAL TO A GOVERNMENT AGENCY

Regardless of a proposal's organization or final form, each usually requires similar information in several well-defined areas. These are the major components of a proposal to be submitted to a government agency.

Title Page	Title of project, name of applicant and organization, name of agency submitted to, inclusive dates of project, total budget request, signatures of authorized personnel approving submission from the local agency.
Abstract	Summary of the proposal with at least some reference to the major points in the statement of need, objectives, procedures, evaluation, and dissemination components. Should stress the end-products. Usually 250 to 500 words.
Problem Statement (or Statement of Need)	Clear and precise statement of the problem to be addressed and the need for its solution. Should establish ***significance***, *relevance*, *timeliness*, *generalizability* and *contribution* of the project. *Innovativeness* of proposed methodology may also be substantiated. Usually includes references to previous research or earlier works. Statistical data describing the need is also cited. In research proposals, this component may have a separate section labeled "related research" which includes more lengthy discussion of previous studies.
Objectives	A very specific indication of the proposed outcomes of the project stated as objectives, hypotheses and/or questions. May also state overall goals of project. Should flow logically from the identified needs/problems.
Procedures	How the objectives will be met or the hypothesis/questions tested. In non-research projects this section usually starts with description of the over-all approach and then gets into details about methodology, participants, organization and time-lines. In a research project, one usually describes design, population and sample, data and instrumentation, analysis, and time schedule. The section should end with clear identification of both short-term and long-term end-products **expected**.
Evaluation*	Details the means by which the local agency and the funding source will know the project has accomplished its purposes. State purpose of evaluation, type of information to be collected, details on instruments, data collection, analysis and utilization and tells how results will be reported. Evaluative criteria should be provided for each objective.
Dissemination*	How will products and findings be shared with others? Frequently this section also details reports to be given to the funding source.
Facilities & Equipment	Facilities and equipment required and how these will be provided. This section may also describe any unique equipment or facilities available to the local agency which will facilitate the project.
Personnel	Who are the personnel that will work on the project and what will they do? What are their backgrounds and credentials? If new staff are needed, how many and of what type? How will they be selected? In a research proposal, this section may also include a description of the project's administrative organization. Individuals to serve as consultants should also be identified, their backgrounds described and use justified.
Budget	Cost of the project. Usually divided into **categories** such as personnel, supplies and materials, travel, data processing, facilities or equipment and indirect costs.

(Hall, 1977: 90)

---

* These categories may or may not be included in research proposals, or if required, can be discussed as elements of the procedures component.

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MAJOR COMPONENTS OF A PROPOSAL TO PRIVATE FOUNDATIONS

The similarity of proposal content, regardless of the funding source involved, can be seen by comparing the content of the preceding chart with Margaret Mahoney's description of the desired content of a proposal to private foundations.

> 1. **Program Aspects.** Is there a clear statement of the problem? Is there a clear statement of the project's impact on the problem? A statement of the significance of the project as perceived by the possible grantee? An indication of the possible uniqueness of the effort: A clear description of the work program? A time frame specified? An acknowledgement of possible overlap with other efforts? An evaluation plan? Anticipated products or outcomes...?
>
> 2. **Personnel.** We are concerned with whether the people can do what they have set out to do.... We ask for curricula vitae on principal people involved in any project and a specification of the amount of time each person will spend on the proposed project.
>
> 3. **Budget and Legal Facts.** We ask for information on the total budget picture, where other money is coming from what specific plans exist for carrying out the program if it proves feasible once foundation money has ceased, and the tax status of the group asking for funds. (Hall, 1977: 91)

HANDOUTS

How to Win at Wordsmanship

Do's and Don'ts for Proposal Writing

Compelling Themes for Proposals

Connectives for Smooth Proposal Writing

HANDOUT

HOW TO WIN AT WORDSMANSHIP

After hacking for years through etymological thickets at the U.S. Public Health Service, a 63-year-old official named Philip Broughton hit upon a sure-fire method for converting frustration into fulfillment (jargon-wise). Euphemistically called the Systemic Buzz Phrase Projector, Broughton's system employs a lexicon of 30 carefully chosen "buzzwords":

Column 1	**Column 2**	**Column 3**
0. integrated	0. management	0. options
1. total	1. organizational	1. flexibility
2. systematized	2. monitored	2. capability
3. parallel	3. reciprocal	3. mobility
4. functional	4. digital	4. programing
5. responsive	5. logistical	5. concept
6. optional	6. transitional	6. time-phrase
7. synchronized	7. incremental	7. projections
8. compatible	8. third-generation	8. hardware
9. balanced	9. policy	9. contingency

The procedure is simple. Think of any three-digit number, then select the corresponding buzzword from each column. For instance, number 257 produced "systematized logistical projection," a phrase that can be dropped into virtually any report with that ring of decisive, knowledgeable authority. "No one will have the remotest idea of what you're talking about," says Broughton, "but the important thing is that they're not about to admit it." (Belcher and Jacobsen, 1976: 23)

HANDOUT

DO'S AND DON'TS FOR PROPOSAL WRITING

In addition to content, the proposal's organization, readability, and effectiveness in providing all of the information requested by the funding source are all significant aspects of meeting one's need. The following cautions will be useful:

DO read all forms and instructions provided by the potential funding agency and then follow them carefully. A check should be completed before the proposal is submitted to make certain that all required information is furnished.

DO maintain a balance between conciseness and sufficient detail to effectively explain the project. This guideline is one of the most difficult for the novice proposal writer because comparative balance between these criteria differs among funding sources. That is why it is important to review proposals previously supported by the funding source and to talk with others who have experience with the group that will review the application.

DO make certain that the reviewers are signaled to the most important parts of the proposal. It is a good idea to underline key phrases, use sub-headings and space the text of the proposal appropriately. Make certain that if the proposal only receives a quick review, the eye is guided to the key points.

DO adapt the language of the application to the audience in the funding agency. Technical phrases or words would always be explained unless they are commonly used and easily understood. Remember that employees of funding sources may not have had the opportunity to keep current with all aspects of their discipline. Assume that they are intelligent, but give them the courtesy of enabling them to understand what you say without additional study or reference to a dictionary.

DO write clearly and precisely. An English instructor once noted that effective communication was enhanced "when one writes so it is impossible to be misunderstood, rather than understood.

DO make certain that the proposal flows logically from one section to another. Remember that you are, in essence, telling a story of what needs to be done and how you propose to do it.

DO explain all abbreviations and acronyms.

DO have the proposal read by someone else to insure that it is clear, the grammar and spelling are correct, and that the document has no typographical errors. A shoddy physical appearance has often doomed an otherwise excellent proposal.

DON'T bury the important parts of the proposal behind too many introductory phrases. The reviewers in the funding agency should be able to find the significant proposal components easily, without having to sort the important from the unimportant.

DON'T provide a lot of drawings, charts, or statistical tables in the body of the proposal unless required by the application forms. Used too often in the proposal narrative, these can interrupt the flow and lesson readablility. Put them in an appendix if they must be included.

DON'T scatter around citations to previous research unless you document how these studies or projects apply to your own idea. Some mention of prior work is important to demonstrate both your scholarship and your knowledge of a field. But the funding source is not looking for the level of detail found in graduate dissertations.

DON'T use jargon unnecessarily.

DON'T be intimidated by the apparent lack of logic in some application forms. The forms may appear to ask for the same information several times or request details in a sequence other than one you would choose. Try to follow the instructions as closely as possible and if necessary, refer by page number to an earlier discussion that covers a point in more extensive detail.

DON'T be too concerned about using words that are "in" with particular funding sources. Most of these change so rapidly that they're "out" by the time the proposal reaches its destination. (Hall, 1977: 86-87)

HANDOUT

COMPELLING THEMES FOR PROPOSALS

Often a proposal is written with a theme or adherent thread which runs through the proposal. Having a compelling theme often creates the potential for discriminating between winning proposals and also-rans. A theme can refer to the institution's capabilities, can refer to the project process, or can be the compelling argument for doing the project or selecting this particular institution for awarding the grant.

-- Technical excellence.

-- Management competence.

-- Easy operation.

-- Reliability.

-- Maintainability.

-- Availability.

-- Fast delivery.

-- Low risk in meeting performance objectives.

-- Low risk in meeting schedule objectives.

-- Low risk in meeting cost objectives: low initial cost, low life-cycle costs, low labor costs, low energy costs, low taxes.

-- Continuity and longevity among key personnel; intact, dedicated team from a related effort.

-- Commonality with customer's existing hardware/software systems.

-- Readily available labor supply; labor and real estate markets far below saturation levels; area has been designated a labor surplus region.

-- Advanced degrees among key personnel.

-- Favorable weather.

-- RFP is a logical extension of a product or engineering model which already exists.

-- There are no major unknowns that have not been investigated.

-- Up-to-date, task-specific, design, testing, and parts selection practices.

-- Computer-aided design, manufacturing, and test operations are in place and functional.

-- Close geographic proximity to customers thereby facilitating communications and monitoring of progress.

- All capabilities in-house--no consultants or subcontrators required.
- Available engineering and manufacturing facilities.
- Available educational facilities.
- Continuous customer participation through prescribed working-level technical interface meetings.
- Short lines of communication.
- All phases of the program will be under one roof.
- Never any overrun; never late on delivery.
- Strong corporate interest as evidenced by heavy IR & D commitments, key personnel commitments.
- Related contracts surround the problem.
- Will increase production.
- Will improve quality.
- Will permit more efficient utilization of manpower.
- Will reduce operating costs.
- Will improve safety.
- Will reduce waste.
- Will eliminate unnecessary work.
- Will improve working conditions. (Greenly, 1983: 59)

HANDOUT

CONNECTIVES FOR SMOOTH NARRATIVE FLOW

When writing a proposal you must make sure that the narrative flows smoothly. This means that ideas and components of the proposal narrative must be linked smoothly with connectives or transitions. The following connectives may help make your narrative flow better.

RELATIONSHIP TO BE DENOTED	SUGGESTED TRANSITION WORD OR PHRASE
Example	Consider
	Now let us consider...
	Consider for discussion...
	To illustrate...
	One might also consider...
	For instance...
	To see this more clearly, consider
	What follows is our best estimate of...
	For example...
Additional Supporting Argument	To understand why...
	Moreover...
	Furthermore...
	Similarly...
	Equally important...
	Next in importance...
	In like manner...
	Additional insight into...
	It is well known that...
	If one asks...the answer is...
	Less well known is...
	Growing evidence points to...
	A growing number of experts are
	To go beyond generalizations...
	The crucial factor is...
	This perhaps is obvious, but what may not be so obvious is...
	To dig more deeply...
	In the same vein...
Counterargument	Conversely...
	On the other hand...
	In contrast...
	The previous discussion dealt with...
	While some observers question...

	In spite of the conventional wisdom that says...
Emphasis and restatement	Now a very significant point... Simply put... In other words... Never before has... What lifts this approach above the ordinary is... Designers failing to perceive the need for... The central concept in this development is... Success in this development lies in... Broadly speaking... In our view...
Conclusion	All of which brings us to... Recall that we said... In summary... In conclusion... The conclusion is reached that... All in all... Not surprisingly... In short... As you might expect...

(Greenly, 1983: 116)

MODULE III

THE *WHY* SECTION OF THE PROPOSAL

MODULE III

THE WHY SECTION OF THE PROPOSAL

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MODULE III

THE WHY SECTION OF THE PROPOSAL

GOAL: The goal of this module is to acquaint the student with the components of the WHY section of a proposal, their functions, characteristics, and common flaws.

OBJECTIVES: At the conclusion of this module, the student should be able:

1. to discuss the role of the WHY section of a proposal.
2. to list the components of the WHY section of a proposal.
3. to discuss the information needed in a proposal **Title Page** or **Cover Sheet.**
    a. to differentiate between good titles for proposals and weak titles for proposals.
    b. to discuss the importance of a proposal **Abstract.**
    c. to discuss the functions of a proposal **Abstract.**
    d. to discuss the charateristics of a proposal **Abstract.**
    e. to discuss the common flaws of a proposal **Abstract.**
4. to discuss the function of the proposal **Introduction** component.
    a. to discuss the characteristics of a proposal **Introduction.**
    b. to discuss the common flaws of a proposal **Introduction.**
    c. to recognize the difference between good and weak proposal **Introductions.**
5. to discuss the role and importance of a **Problem Statement** or **Needs Assessment** in a proposal.

a. to discuss the function of a proposal **Needs Assessment.**

b. to discuss the characteristics of a proposal **Needs Assessment.**

c. to discuss the common flaws of a proposal **Needs Assessment.**

d. to list and discuss four methods of documenting **Needs Assessment** in a proposal.

e. to be able to differentiate betwen good and weak examples of a proposal **Needs Assessment/Problem Statement.**

6. to discuss the role of the **Rationale** component in a proposal.

THE WHY SECTION OF THE PROPOSAL

TEACHING STRATEGIES

This module deals with the WHY section of a proposal and the components which are included in it.

FOR THE INSTRUCTOR: This module can be used as the basis for developing a lesson plan on the components of the WHY section of the proposal. There is textual material, student handouts, student exercises, and examples of good and weak components at the instructor's disposal.

FOR THE STUDENTS: This module can be used by the student either:

1. as a **STUDY GUIDE** for use in a classroom setting, or
2. as **SELF-PACED INDIVIDUALIZED** material.

There are exercieses and examples of good and weak proposal components which bring into focus a practical application of the textual material presented in this module.

In studying for an examination, go over the module objectives and try to answer them as questions.

MODULE III

THE WHY SECTION OF THE PROPOSAL

OVERVIEW

The Why Section of a proposal goes by a number of more conventional names: Needs Assessment, Problem Statement, Background, and Rationale. Regardless of what it is called, it serves four logical purposes.

1. **General Problem.** This is the general need, as perceived by the funder. Here you get his/her attention by discussing his/her interests. Often this section includes a profile of the broad target group that you intend to serve, describe its needs and characteristics. Do not try to educate the funder yet.

2. **Hone Down.** The second element hones down the discussion of the client group to a more manageable level and zeros in on the specific way in which you intend to solve at least part of the problem. This is where you inform the funder about ways to solve his/her own problems that he/she could not have envisioned without you. This can be done in any of three ways:

   a. by describing your client group as an acute example of the larger problem, implying that by studying it you will solve more of the problem than by choosing another sample;

b. by arguing that your client group is transferable to the entire population than another case; and

c. by arguing the your method is the most promising one for either solving or "shedding light on" the problem.

3. **What Has Been Done.** The third subsection of the Why section makes you more believable by showing your familiarity with past efforts to resolve this same problem of meet the needs of the client group wet forth in the first two subsections. Having already described the subtleties of the problem itself, you now need to discuss in detail the history of approaches to solving it: What has worked, what has not worked, and how the community of people aware of, and responsive to, the problem has evolved. Whether you discuss the history of past projects or review the pertinent literature, what you need to do here is establish your grasp of what has been leaned from past attempts to resolve the problem.

4. **Introduce Yourself.** In the last step of the Why section, and not before, introduce yourself. You have built a connection with the funder's interests, shown how your clients relate to his/her mission, and identified yourself with the history of previous efforts to deal with this problem. Not you need to show what it is about you that makes you the best candidate to carry the learning process on to the next step.

Talk about your track record. Talk about the special qualifications of your staff members or your consultants. If you are a part of an already successful project and looking for continuation of funding, play this up. Describe your readiness to undertake the project proposed. But be realistic in your statements. Overkill can be a turnoff to a funding agency just as too little detail can knock you out of the running. (Smith and Skjei, 1980: 173-75)

COMPONENT 1: TITLE PAGE OR COVER SHEET

The cover page of a proposal is the place to include information that does not fit into any other part of the proposal; for example, the name of the fiscal agent to whom the funds are sent, the applicant's Social Security number, the institution;s Internal Revenue Service identification number, or any other specialized information required for a specific proposal. The cover sheet serves as an identification tag, identifying your agency, the finding agency, the grant fund applying for, the principals of the project, etc.

Basic Information

Every cover page should contain the following basic information plus any other specialized information required by the circumstances of the program or the funding organization.

1. Name and address of the organization to which the proposal is addressed.

2. Subject of the proposal and the type of support requested, e.g., grant, contract, or fellowship; for training, research, or conference.

3. Name of the applicant, e.e., the individual preparing the proposal, the project director or principal investigator, address, telephone number, and Social Security number.

4. Name of the institution endorsing the proposal and accepting the responsibility for administration of the grant if awarded, the address of the institution, and the Internal Revenue Service identification number or certification as to the nonprofit or not-for-profit status, if applicable. Applications to governmental

agencies include the congressional district in which the institution is located, and for Office of Education proposals, the Identity Number.

5. Name, address, telephone number, and title of the official authorizing the institutional endorsement. This is the official who will represent the institution in negotiations with the funding agency.

6. Name, address, telephone number, and title of the institutional fiscal agent to whom the grant funds will be paid.

7. Project period--beginning and terminating dates. A statement that it is a new, renewal, or continuation application.

8. Amount of the request. This figure may be broken down into direct and indirect costs. If the project is for more than a one-year period, the cost for the first year should be given, as well as the total cost.

9. Signatures of the principal investigator, the institutional representative, and any others required by the funding organization.

10. Date the application is submitted. (White, 1975: 234-5)

The following is a sample of the standard Federal Assistance cover sheet which is used by most government agencies.

OMB Approval No. 29-R0218

FEDERAL ASSISTANCE

2. APPLICANT'S APPLICATION
a. NUMBER
b. DATE Year month day 19

3. STATE APPLICATION IDENTIFIER
a. NUMBER
b. DATE ASSIGNED Year month day 19

1. TYPE OF ACTION (Mark appropriate box)
☐ PREAPPLICATION
☒ APPLICATION
☐ NOTIFICATION OF INTENT (Opt.)
☐ REPORT OF FEDERAL ACTION

Leave Blank

SECTION I—APPLICANT/RECIPIENT DATA

4. LEGAL APPLICANT/RECIPIENT
a. Applicant Name :
b. Organization Unit :
c. Street/P.O. Box :
d. City :
e. County :
f. State :
g. ZIP Code:
h. Contact Person (Name & telephone No.) :

5. FEDERAL EMPLOYER IDENTIFICATION NO.

6. PROGRAM (From Federal Catalog)
a. NUMBER 8 4 • 1 4 2
b. TITLE HOUSING; FOR EDUCATIONAL INSTITUTIONS

7. TITLE AND DESCRIPTION OF APPLICANT'S PROJECT

8. TYPE OF APPLICANT/RECIPIENT
A—State
B—Interstate
C—Substate District
D—County
E—City
F—School District
G—Special Purpose District
H—Community Action Agency
I—Higher Educational Institution
J—Indian Tribe
K—Other (Specify):
Enter appropriate letter I

9. TYPE OF ASSISTANCE
A—Basic Grant
B—Supplemental Grant
C—Loan
D—Insurance
E—Other
Enter appropriate letter(s) C

10. AREA OF PROJECT IMPACT (Names of cities, counties, States, etc.)

11. ESTIMATED NUMBER OF PERSONS BENEFITING

12. TYPE OF APPLICATION
A—New
B—Renewal
C—Revision
D—Continuation
E—Augmentation
Enter appropriate letter A

13. PROPOSED FUNDING

a. FEDERAL	$ .00
b. APPLICANT	.00
c. STATE	.00
d. LOCAL	.00
e. OTHER	.00
f. TOTAL	$ .00

14. CONGRESSIONAL DISTRICTS OF:
a. APPLICANT
b. PROJECT

16. PROJECT START DATE Year month day 19

17. PROJECT DURATION Months

18. ESTIMATED DATE TO BE SUBMITTED TO FEDERAL AGENCY ▶ Year month day 19

15. TYPE OF CHANGE (For 12c or 12e)
A—Increase Dollars
B—Decrease Dollars
C—Increase Duration
D—Decrease Duration
E—Cancellation
F—Other (Specify):
Enter appropriate letter(s)

19. EXISTING FEDERAL IDENTIFICATION NUMBER

20. FEDERAL AGENCY TO RECEIVE REQUEST (Name, City, State, ZIP code)
U.S Dept. of Education, 400 Maryland Ave., SW., Washington, D.C. 20202

21. REMARKS ADDED ☐ Yes ☐ No

SECTION II—CERTIFICATION

22. THE APPLICANT CERTIFIES THAT ▶

a. To the best of my knowledge and belief, data in this preapplication/application are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is approved.

b. If required by OMB Circular A-95 this application was submitted, pursuant to instructions therein, to appropriate clearinghouses and all responses are attached:

	No response	Response attached
(1)	☐	☐
(2)	☐	☐
(3)	☐	☐

23. CERTIFYING REPRESENTATIVE
a. TYPED NAME AND TITLE
b. SIGNATURE
c. DATE SIGNED Year month day 19

SECTION III—FEDERAL AGENCY ACTION

24. AGENCY NAME

25. APPLICATION RECEIVED Year month day 19

26. ORGANIZATIONAL UNIT

27. ADMINISTRATIVE OFFICE

28. FEDERAL APPLICATION IDENTIFICATION

29. ADDRESS

30. FEDERAL GRANT IDENTIFICATION

31. ACTION TAKEN
☐ a. AWARDED
☐ b. REJECTED
☐ c. RETURNED FOR AMENDMENT
☐ d. DEFERRED
☐ e. WITHDRAWN

32. FUNDING

a. FEDERAL	$ .00
b. APPLICANT	.00
c. STATE	.00
d. LOCAL	.00
e. OTHER	.00
f. TOTAL	$ .00

33. ACTION DATE ▶ Year month day 19

34. STARTING DATE Year month day 19

35. CONTACT FOR ADDITIONAL INFORMATION (Name and telephone number)

36. ENDING DATE Year month day 19

37. REMARKS ADDED ☐ Yes ☐ No

38. FEDERAL AGENCY A-95 ACTION

a. In taking above action, any comments received from clearinghouses were considered. If agency response is due under provisions of Part 1, OMB Circular A-95, it has been or is being made.

b. FEDERAL AGENCY A-95 OFFICIAL (Name and telephone no.)

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ED FORM 866. (5/83)

STANDARD FORM 424 PAGE 1 (10-75)
Prescribed by GSA, Federal Management Circular 74-7

GENERAL INSTRUCTIONS

This is a multi-purpose standard form. First, it will be used by applicants as a required facesheet for pre-applications and applications submitted in accordance with Federal Management Circular 74–7. Second, it will be used by Federal agencies to report to Clearinghouses on major actions taken on applications reviewed by clearinghouses in accordance with OMB Circular A–95. Third, it will be used by Federal agencies to notify States of grants-in-aid awarded in accordance with Treasury Circular 1082. Fourth, it may be used, on an optional basis, as a notification of intent from applicants to clearinghouses, as an early initial notice that Federal assistance is to be applied for (clearinghouse procedures will govern).

APPLICANT PROCEDURES FOR SECTION I

Applicant will complete all items in Section I. If an item is not applicable, write "NA". If additional space is needed, insert an asterisk "*", and use the remarks section on the back of the form. An explanation follows for each item:

Item

1. Mark appropriate box. Pre-application and application guidance is in FMC 74–7 and Federal agency program instructions. Notification of intent guidance is in Circular A–95 and procedures from clearinghouse. Applicant will not use "Report of Federal Action" box.

2a. Applicant's own control number, if desired.

2b. Date Section I is prepared.

3a. Number assigned by State clearinghouse, or if delegated by State, by areawide clearinghouse. All requests to Federal agencies must contain this identifier if the program is covered by Circular A–95 and required by applicable State/areawide clearinghouse procedures. If in doubt, consult your clearinghouse.

3b. Date applicant notified of clearinghouse identifier.

4a–4h. Legal name of applicant/recipient, name of primary organizational unit which will undertake the assistance activity, complete address of applicant, and name and telephone number of person who can provide further information about this request.

5. Employer identification number of applicant as assigned by Internal Revenue Service.

6a. Use Catalog of Federal Domestic Assistance number assigned to program under which assistance is requested. If more than one program (e.g., joint-funding) write "multiple" and explain in remarks. If unknown, cite Public Law or U.S. Code.

6b. Program title from Federal Catalog. Abbreviate if necessary.

7. Brief title and appropriate description of project. For notification of intent, continue in remarks section if necessary to convey proper description.

8. Mostly self-explanatory. "City" includes town, township or other municipality.

9. Check the type(s) of assistance requested. The definitions of the terms are:

A. Basic Grant. An original request for Federal funds. This would not include any contribution provided under a supplemental grant.

B. Supplemental Grant. A request to increase a basic grant in certain cases where the eligible applicant cannot supply the required matching share of the basic Federal program (e.g., grants awarded by the Appalachian Regional Commission to provide the applicant a matching share).

C. Loan. Self explanatory.

Item

D. Insurance. Self explanatory.

E. Other. Explain on remarks page.

10. Governmental unit where significant and meaningful impact could be observed. List only largest unit or units affected, such as State, county, or city. If entire unit affected, list it rather than subunits.

11. Estimated number of persons directly benefiting from project.

12. Use appropriate code letter. Definitions are:

A. New. A submittal for the first time for a new project.

B. Renewal. An extension for an additional funding/budget period for a project having no projected completion date, but for which Federal support must be renewed each year.

C. Revision. A modification to project nature or scope which may result in funding change (increase or decrease).

D. Continuation. An extension for an additional funding/budget period for a project the agency initially agreed to fund for a definite number of years.

E. Augmentation. A requirement for additional funds for a project previously awarded funds in the same funding/budget period. Project nature and scope unchanged.

13. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions will be included. If the action is a change in dollar amount of an existing grant (a revision or augmentation), indicate only the amount of the change. For decreases enclose the amount in parentheses. If both basic and supplemental amounts are included, breakout in remarks. For multiple program funding, use totals and show program breakouts in remarks. Item definitions: 13a, amount requested from Federal Government; 13b, amount applicant will contribute; 13c, amount from State, if applicant is not a State; 13d, amount from local government, if applicant is not a local government; 13e, amount from any other sources, explain in remarks.

14a. Self explanatory.

14b. The district(s) where most of actual work will be accomplished. If city-wide or State-wide, covering several districts, write "city-wide" or "State-wide."

15. Complete only for revisions (item 12c), or augmentations (item 12e).

BEST COPY AVAILABLE

Selecting a Title

A title which describes the primary goal or the project aptly and in words that will be easily remembered or often repeated is a definite asset to a project title. Here are several do's and don'ts to be followed in selecting the project title:

DO suit the title to the potential funding source. For example, a highly complex and technical title might be appropriate for a scientific research project submitted to the National Science Foundation. It would be much less appropriate for an exemplary curriculum development project submitted to a state education agency.

DO choose a title which is descriptive of the objectives of the project or which will give the casual reader some idea of what the project is about.

DO keep the title as short as possible. Remember that the project will eventually have to be indexed or entered into an information source. Brevity helps with this task.

DO choose a title with some imagination and flair. While acronyms (words formed by the first letter or first few letters in several words) are becoming overused, they do provide a favorite device for developing descriptive and memorable project titles.

DON'T choose a title that is the same or very similar to another project in operation, especially one located in the same part of the country. This is a guaranteed way to lose your mail.

DON'T choose a title 3which can be considered flippant or funny. Funding sources are extremely sensitive to the fact that politicians have skimmed project titles listed in annual reports or government documents and have used both the highly jargonized title and the flippant title as the basis for a critical speech.

DON'T select a title which begins "A project to...." Not only does this show lack of imagination, but it adds unnecessary length to the project label.

DON'T select a title from Greek mythology or one that contains foreign words unless it can be easily understood and is definitely descriptive of the project.

DON'T select a title that cannot easily be shortened (unless you use an acronym) when referred to in casual conversation or informal communication. A cumbersome title that has to be repeated in its entirety to be identifiable, quickly becomes irritating--especially to proposal reviewers who must discuss it during panel meetings. (Hall, 1977: 103-4)

COMPONENT 2: ABSTRACT OR PROPOSAL SUMMARY

The summary appears at the beginning of the proposal, but the writer usually does not prepare it until after the formal proposal is completed. In foundation proposals, the summary should be the first paragraph in the proposal, not in the cover letter. In government formats, there is often a space on the cover sheet where you care asked to place the summary. A good, clear, concise summary should include:

1. identification of the applicant and a phrase or two about the applicant's credibility.
2. the reason for the grant request: issue, problem, or need to be met.
3. the objectives to be achieved through this funding.
4. the kinds of activities be be conducted to accomplish these objectives.
5. the total cost of the project, funds already committed, and amount asked for in this proposal.

Importance of the Summary

The proposal summary is important for several reasons:

1. It may be required by the funding source.
2. It may be all that is read.
3. It will probably be the first thing read.
4. It should frame the proposal.
5. It is good practice in expressing ideas with clarity and brevity. (Kiritz, 1979: 37)

Function

For funding sources that screen proposals as a first step in the decision-making process, the abstract can provide the basis for:

1. determining whether the submitted proposal is consistent with program priorities of the funding office.
2. determining the eligibility of the submitting institution.
3. assigning the proposal to a specific panel of readers or a specific program office.
4. determining whether the level of funding requested is consistent with allocation policies of the funding agency. (Warren, 1980: 172)

Characteristics

The abstract or program summary, whether inserted on the forms provided by the funding agency, placed as an introductory page in the proposal or presented in the form of a letter to a foundation, introduces the submitting institution to the government agency or foundation. In all cases, the abstract should provide a lucid and concise program summary that identifies the:

1. submitting institution
2. goals of the proposed project
3. scope of the planned activities
4. projected cost of the project. (Warren, 1980: 172-3)

Common Flaws

Since the abstract has to be so brief (usually one page), this can lead to the following flaws:

1. The major features of the proposal may simply be extracted from the body of the narrative. Without careful organization and the insertion of appropriate

transitional phrases, such statements often provide a clumsy and vague definition of the program.

2. When a proposal request authorizes proposals for more than one program, the statement may fail to indicate the specific program for which the submitter is seeking funding.

3. In training or service delivery projects, the population that the program is intended to serve and the numbers of persons to benefit directly form the program may no be specified clearly. (Warren, 1980: 175)

HANDOUTS

Checklist

Examples

    Weak

    Good

HANDOUT

CHECKLIST FOR A PROPOSAL SUMMARY OR ABSTRACT

Use the following checklist when evaluating the quality of a proposal abstract or summary.

1. An abstract clearly and concisely summarizes the request.
2. Appears at the beginning of the proposal.
3. Identifies the grant applicant.
4. Includes at least one sentence on credibility.
5. Includes at least one sentence on problem.
6. Includes at least one sentence on objectives.
7. Includes at least one sentence on methods.
8. Includes total cost, funds already obtained, and amount requested in this proposal.
9. Is brief.
10. Is clear.
11. Is interesting. (Kiritz, 1979: 38)

EXAMPLE OF A PROPOSAL ABSTRACT

WEAK

Directions:

1. Read the following proposal summary.
2. Critique it.
3. Be prepared to tell why it is not a good proposal summary.
4. Rewrite the selection as a good summary.

SELECTION

Summary

The long-range goal of this proposal program is to help students develop into adults who think creatively and independently, learn by observation, work together in inquiring teams, develop judgement and decision making abilities, and, most importantly, adults who can conceive of more satisfactory alternatives to social problems than passive acceptance or militant violence. In short, this program's aim is to help students to grow into adults who actively practice and participate in democratic citizenship.

Critique

Not only does this summary leave out just about all of the basics, it is also an exercise in the use of rhetoric. I am not sure I know what they are really going to do.

HANDOUT/EXERCISE

EXAMPLE OF A PROPOSAL SUMMARY

GOOD

Directions:

1. Read the following proposal summary.
2. Be prepared to defend it as a good example of a proposal summary.

Summary

The City Association for Retarded Children (CARC) currently operates 22 programs for 300 retarded children in This City, in addition to programs for 200 adolescents and adults. Over the past year these services have been extended to the Other City area, with the financial assistance of the State Department of Health. More than 75 additional severely retarded children from the This City area have been identified by Qualified Agency as needing the intensive rehabilitation training and therapy offered by CARC. Appropriate treatment can increase the level of functioning for many of these youngsters to the point that they can attend normal Department of Education classes and develop to their maximum potential. The alternative is abandonment or expensive care in custodial institutions. Both the State Departments of Health and of Education have recognized that rehabilitative services are most effective at an early age.

This proposal would expand the services of CARC to more fully meet the needs of retarded children in This City.

The total cost of this program is $110,000. Of this, $45,000 has already been committed by local corporations and foundations. This request is for the balance needed of $65,000. (Kiritz, 1979: 37)

COMPONENT 3: INTRODUCTION

The **Introduction** section of a proposal includes the statement of what is to be done--its significance and overall purpose; the background of the projects--what has been or is being done both generally and specifically in the same or related fields; the rationale or philosophy behind the proposed activity--explanation and justification for unique or innovative approaches. The introduction will be far more detailed in research applications than in other types, especially the references to to their work, reflecting a thorough knowledge of the literature and current research pertaining to the subject field.

Function

Although the quality of the introductory statement to the program will seldom result directly in the awarding of points, the introduction can affect the reader's disposition to what follows. By providing a backdrop for the program, it demonstrates to the reader:

> 1. the credibility and appropriateness of the institution and/or individual(s) submitting the proposal; and
> 2. the appropriateness of the particular program approach being proposed. (Warren, 1980: 175)

Characteristics

The particular form of the introduction will differ, depending on the nature of the agency from which funding is sought and the degree of latitude allowed by guidelines governing the submittal of the proposal. Regardless of the form, the introduction must address the following factors:

1. Institutional Factors
    a. demonstrated prior interest and commitment of the institution or individual to the problem for which funding is being sought.
    b. significant past accomplishments of the institution or individual relevant to the intent of the funding agency.
    c. particular qualifications of the submitting institution evolving either from the composition of their governing bodies or their relationships with other organizations.
    d. past and/or current support relevant to the proposed project received from other funding agencies or organizations that lends status to the submittal.
2. Program Factors
    a. demonstrated past success of the individual and program staff in developing programs that address problems similar to those covered in the proposed project.
    b. demonstrated familiarity with related research or involvement with other individuals or institutions with recognized accomplishments.
    c. identification of institutionally supported program activities that will complement proposed project activities. (Warren, 1980: 176)

Like the abstract, the introduction should be lucid and concise; jargon should be avoided. Achievements should be documented and written in a straightforward manner. In designing the introduction as a credibility statement, the evidence of credibility must be relevant to the activities for which support is sought.

Keep the credibility statement current. Keep a running file on major accomplishments which your institution has done in order to be able to recall these when the need arises.

Balance the use of statistics and and quotes in your introduction. Remember, too many of either makes the reader weary and makes the introduction heavy. Try to maintain a balance of the two for effectiveness, not overkill in either direction.

Make the introduction readable. This is the beginning of your proposal narrative. You want to get off on the right foot with the proposal reader and reviewer. You can either turn the reader on to your institution and proposal--or off!

To summarize, then, an **introduction** should possess the characteristics of: currency, balance, readability, and credibility.

Common Flaws

The form and style of the introduction should be determined by the characteristics of the funding agency, the specifications contained in the proposal announcement, and the anticipated orientation of reviewers. The failure to consider the preceding variables represents a general weakness of many submitted proposals. There are, in addition, some specific flaws that occur frequently:

1. The purpose for which funding is sought is not clearly delineated.
2. The exposition of past programs carried out by the submitter and the relevance of the program to the

problem being addressed is too lengthy and at times irrelevant to what follows.

3. References to the appropriateness of the submitting institution are not documented and thereby serve only as vague statements of institutional goals barely relevant to the projected activities.

HANDOUTS

Checklist for a Proposal Introduction

Do's and Don'ts of a Proposal Introduction

Examples of a Proposal Introduction

- Weak
- Good

HANDOUT

CHECKLIST OF A PROPOSAL INTRODUCTION

1. The **Introduction** describes the applicant agency and its qualifications for funding (credibility).
2. Clearly establishes who is applying for funds.
3. Describes applicant agency purposes and goals.
4. Describes applicant's programs and activities.
5. Describes applicant's client or constituents.
6. Provides evidence of the applicant's accomplishments.
7. Offers statistics in support of accomplishments.
8. Offers quotes/endorsements in support of accomplishments.
9. Supports qualifications in area of activity in which funds are sought (e.g., research, training),
10. Leads logically to the problem statement.
11. Is as brief as possible.
12. Is interesting.
13. Is free of jargon. (Kiritz, 1979: 44)

HANDOUT

DO'S AND DON'TS FOR WRITING A PROPOSAL INTRODUCTION

DO design the introductory statement after analyzing the funding and funding agencies priorities and characteristics.

DO identify the problem that the proposed project seeks to address.

DO document the appropriateness of the submitting institution by including:

- significant accomplishments,
- organization goals, and
- organization endorsements.

DO document the appropriateness of the program approach. This is done by:

- researching the findings of relevant others cited, and
- testimonials of relevant others cited.

DO provide information relevant to the proposed program.

DO make the introductory statement concise but informative. (Warren, 1980: 179)

DON'T enmesh the reader in the intricacies of your organizational structure. He or she may never find a way out.

DON'T dwell interminably on your philosophy, lest you be seen as all thought and no action.

DON'T list every grant you've ever received; the funding source may think you're more interested in getting grants than in helping people.

DON'T forget to put in some data.

DON'T forget to put in some quotes. (Kiritz, 1979: 40-41)

EXAMPLE/EXERCISE

PROPOSAL INTRODUCTORY STATEMENT

WEAK

Directions:

1. Read the following selection.
2. Be prepared to discuss the shortcomings of the selection as a Proposal Introductory statement.

SELECTION

Introduction

South Hometown Love 'Em Up (SHLEP) is a nonprofit delinquency prevention and diversion program which addresses itself to the problem of pre-delinquent children between the ages of 7-14. The core component of our program is a one-to-one matched volunteer advocate who acts as a warm, supportive friend to the child over the none-month to one-year period. In this relationship the child finds help in identifying, facing, and dealing with personal problems and fulfilling a basic human need for positive feelings of self-worth. The child is also provided with supportive services and community advisory agencies as may be needed.

SHLEP responds to youth as people rather than as problems, believing that, though troubled at the moment, they are healthy growing individuals who, if given a positive environment, will find their best interests coinciding with the best interests of society.

EXAMPLE/EXERCISE

EXAMPLE OF A PROPOSAL INTRODUCTION

GOOD

Directions:

1. Read the selection.
2. Be prepared to discuss why it is considered a good example of a proposal introduction.

SELECTION

Introduction

Symphony News, the bi-monthly publication of the American Symphony Orchestra League, calls the Mellifluous Symphony "the fastest growing symphony in the country." Strong evidence of this is a 600 percent increase in season subscribers from 120 to 723 over the past 189 months. Over its 45 years of community service, the symphony has grown from a community orchestra to a regional symphony of high critical acclaim. Geoffrey Goodwill of the Los Angeles Times recently described Mellifluous as "a virtuoso orchestra."

The commitment to excellence of the Symphony Association is evidenced by such featured artists as Andre Watts, Marilyn Horne, Seiji Ozawa, Eugene Ormandy, and Van Cliburn.

Fourteen consecutive "sold out" performances, spanning two seasons, is one example of the strong community support for the symphony to create programs of broad interest. Financial support has grown, from both public and private donors, including the Country Music Commission, Bland Oil Company, The Zap Corporation, and the Goodthoughts Foundation. These financial commitments have enabled the symphony, the most active cultural organization in the region, to expand its performance series to include classical, pop, and children's concerts, opera, and ballet.

COMPONENT 4: PROBLEM STATEMENT OR NEEDS ASSESSMENT

The problem statement, or needs assessment, is the most critical part of the proposal plan. It represents the reason behind the proposal. A "needs assessment" generally focuses on the conditions in the lives of your clients or constituents that you wish to change. A "problem statement" looks at that particular situation, relates it to similar situations that exist in other communities, and shows the broader implications of your program. Whether your orientation is to the needs of specific clients, to broader social implications, or both, this section of your proposal has certain basic requirements:

1. It should be clearly related to the purposes and goals of your organization.
2. It should be supported by evidence drawn from your experience, from statistics provided by authoritative sources and/or testimony of persons and organizations known to be knowledgeable about the situation.
3. It should be of reasonable dimensions--a concern that you can realistically do something about over the course of a grant.
4. It should be stated in terms of clients or constituents, rather than the needs or problems of your organization. (Kiritz, 1979: 45)

Function

The statement of the problem or needs assessment identifies the shortfall between the current and desired state of knowledge or service delivery that the submitter proposes to address. This component of the proposal, then, serves the function to:

1. demonstrate the writer's familiarity with the problem to be addressed (thus helping to establish the credibility of the submitter),

2. demonstrate the writer's awareness of funding agency priorities, and

3. determine the objectives and thus strongly influence the activities or procedures that follow in later proposal components. (Warren, 1980: 179)

Characteristics

The form of this component of the proposal will vary significantly depending on the type of project. The title of the section will generally reflect whether support is sought for research funds or training and service delivery support. A service or training project will invariably begin with a section entitled "Assessment of Needs" or "Needs Assessment" that identifies specific problems or shortfalls that the project activities will address. This section, unless otherwise specified in the guidelines, should provide data documenting the need for the proposed activities.

In composing this component of the proposal, the writer may choose to provide a general statement of the problem before detailing the specific needs that the project will address. Such a statement should be conceived of as a general needs assessment. Documenting needs beyond the scope of the proposed activities serves some of the same functions as the introduction. Consequently, this entry can preface the needs assessment or be incorporated in the proposal introductory section.

Differences between characteristics of the problem statement or needs assessment that result from the type of program (research/training/service delivery) represent differences in degree rather than in kind. Characteristics common to the problem statement and needs assessment narrative should:

1. be preceded by a succinct statement of purpose that identifies the submitting institution and indicates the type of project (development, training, implementation, research) for which support is sought. (If a statement containing these characteristics is contained the in the introduction component, it need not be repeated within this section.)

2. indicate knowledge of the intent of the authorizing legislation and/or priorities of the funding agency, particularly when responding to a specific set of guidelines of Rules and Regulations.

3. identify, in addition to the general need, specific needs that the project will address within the time and funding level constraints set by the guidelines.

4. contain only statements that can be supported by evidence, for example, statistical data, statements from affected or interested groups or clients, citations from professional journals, or references to previous studies.

5. present specific needs in quantifiable terms, for example, 64 percent of the 200 individuals between the ages of 16 and 18 to be served by the program are performing at 3 years below expected grade level on standardized tests.

6. be sufficiently precise so that identified needs can serve as the basis for identifying specific program objectives or research hypotheses. (Warren, 1980: 180)

Common Flaws

Many of the flaws common to writing a good needs assessment of statement of the problem component of the proposal stem from two major miscalculations on the part of the writer:

1. the problem the proposal addresses is presented in such global terms that any treatment, short of social or political revolution accompanied by a massive infusion of money into a single community, is doomed to failure.

2. specific needs identified are constructed like a child's Christmas list. "I want" of "I need" is confused with the identification of the discrepancy between the desired and current state of affairs.

Specific needs identified in this manner represent goal statements rather than shortfalls. Identifiable flaws include the following:

1. The narrative reads more like a lengthy social or political essay than a documentation of problems that the activities will address.
2. The problem lacks the precise definition that enables the generation of objectives or hypotheses treatable within fiscal, program, and time constraints set by the funding guidelines.
3. Documentation of the problem is missing or sources of data are unclear or absent.
4. Needs have not been quantified. The specificity necessary to determine whether the distance between the current state and desired state has been decreased by project activities is not provided.
5. Needs are not organized in a way that enables the reader to relate the identified needs with the objectives or hypotheses that follow in the next component of the proposal.
6. Needs identified are presented as value judgments or "I need" statements (e.g., "students' need," "community group's need"). (Warren, 1980: 183-86)

Documentation

An important element to a successful needs assessment of statement of the problem is the way and amount of documentation included as your argument for your case. There are four main ways to document need:

-- quantitative documentation,

-- qualitative documentation,

-- pointing out the limitations of existing programs, and

-- showing evidence of demand.

Quantitative documentation refers to the use of statistical and other quantitative information. This material may be presented in either absolute or relative terms, or both.

An absolute statement would be, for example:

> "There are 20,000 single-parent families in the county."
>
> "The number of adjudicated delinquents in the community is 5,000."
>
> "The juvenile delinquency rate is 4.5 per thousand."

A relative statement would be, for example:

> "One out of every ten families is a single-parent family."
>
> "The proportion of single-parent families to regular families is higher in this county than in any other county in the state."
>
> "The juvenile-delinquency rate is higher than the national rate of 3.7 per thousand."

Usually both absolute and relative data are used. The obvious criterion in selecting data is to present the information that is not only pertinent to the proposed program, but that at the same time establishes a clear need for the program. There can be a fine line, however, between selection of data and distortion of data. Be careful!

Qualitative documentation refers to the use of statements regarding the problem that are not based on numbers, but on logical connections that can be made between different factors or ideas. Examples of such statements would be:

> "Family life is weakened by the lack of communication among family members."
> "Juvenile delinquency is intimately connected with alienation of youth."

These relationships can then be expanded and references may be cited from literature, research, or empirical evidence to further support the ideas. In this way qualitative and quantitative material can be woven together and a convincing argument can be presented.

Another method of documentation is to **point out the limitations of existing programs.** In most cases, there are already some programs in the community or in the country or state in the field in which you are planning to operate. It is important to recognize this in the proposal and to criticize existing programs or to point out their limitations. Often previous studies, reports, and newspaper articles can serve as basis for this discussion. Another technique is to show how the proposed program builds on prior efforts by expanding or modifying them in order to enhance effectiveness.

Another was to document the need is to **provide evidence of demand for the program**--if such evidence exists. Waiting lists, results of surveys, and results of community meetings can be used for this purpose. Also, statements from other agencies, government officials, and newspaper articles may reveal community concern for the problem and a demand for the proposed program. (Lefferts, 1978: 44-47)

COMPONENT 5: RATIONALE

The **Rationale** statement of a proposal may be treated as a separate component of the proposal and put in a separate section, or incorporated in the introduction, the needs section, or in a section combining need and rationale. Material that should be covered includes the philosophy or perspective that guides the proposal, any assumptions that are being made, and the relevance and significance of the project. In a sense, this material conveys the thought behind the program to the funder. It strengthens any proposal.

The rationale sets forth the theoretical framework for any piece of research as well as explains all key concepts and the operational definitions of each concept. An additional part of the material that can be included here is sometimes referred to as "state-of-the-art" information. This is a synopsis of similar or related work done by others in the field addressed by the proposal. Preparation of state-of-the-art information requires a certain amount of research, but it should be documented by referring to literature, reports, and other source material. State-of-the-art type of information is appropriate to all types of proposals. It is focused mainly on a discussion of methodology, such as the state of the art with respect to counseling, training, planning, and research techniques.

Taken together, the objectives, problem definition, needs, and rationale provide the concepts, the justification, and the legitimation for the program activities or methods for which support is being requested. (Lefferts, 1978: 48-49)

HANDOUTS

Checklist for Writing a Needs Assessment/Problem Statement

Considerations for Writing a Needs Assessment/Problem Statement

Examples

- Examples of Good Problem Statements
- Examples/Exercise for Needs Assessment
  - Weak
  - Good

HANDOUT

CHECKLIST FOR PROBLEM STATEMENT OR NEEDS ASSESSMENT

PROBLEM STATEMENT OF NEEDS ASSESSMENT

1. Relates to purposes and goals of applicant agency.
2. Is of reasonable dimensions--not trying to solve all the problems of the world.
3. Is supported by statistical evidence.
4. Is supported by statements from authorities.
5. Is stated in terms of clients' needs and problems--not the applicant's.
6. Is developed with input from clients and beneficiaries.
7. Is not the "lack of a program," unless the program always works.
8. Makes no unsupported assumptions.
9. Is free from jargon.
10. Is interesting to read.
11. Is as brief as possible.
12. Makes a compelling case. (Kiritz, 1979: 51)

CONSIDERATIONS FOR WRITING A NEEDS ASSESSMENT/PROBLEM STATEMENT

-- The needs identified must be consistent with the project objectives and procedures. A frequent mistake made in applications is to describe a massive and complex need but propose a project which meets only a very small part of the problem.

-- The problem or need must be sufficiently focused and delimited to leave the reader with conviction that there is hope for a solution, given the time and resources requested in the proposal.

-- The statement of need must demonstrate that you are aware of related research and the experience of other individuals or groups in the field. And, it must be shown how the project will compliment, overlap, extend, redo, or not duplicate these prior efforts.

-- Proposals will differ about the extent to which references to related research and past projects should be integrated into the text of the document. Be careful. Remember, the reader should never have to go to the library and look up the references to understand why they are included in the proposal.

-- Attention should be given to demonstrating the need and appropriateness of the proposal methodology in addition to a discussion of the importance of the project's topic. While the "problem" of the proposal should not include a lengthy discussion on project methodology, it should lay the groundwork for when this is discussed in the procedures component.

-- Appropriate statistical data should be used to substantiate the need, describe the significance of the population to be served or studied, and to make comparisons which illustrate the importance of the project and its potential contribution.

-- Citations to prior work and sources for statistical data should always be footnoted.

-- You should determine whether the funding source expects both the methodology and the results of the needs assessment carried out earlier in the proposal development process to be fully described in this part of the application.

EXAMPLES

EXAMPLES OF GOOD PROBLEM STATEMENTS

A statement of the problem for your proposal should be written with precision so that it will communicate a justification for funding your project. A few such good problem statements are as follows:

1. There is greater demand for vocational education training than can be met with current faculty and facilities.
2. Female students do no acquire the education or training that leads to high-paying fields or major leadership positions.
3. The recreational needs of the local senior citizens are not sufficiently met by traditional city recreation.
4. The range of police training in the city is too narrow.
5. Students are not adequately prepared in basic English and mathematics to be offered good jobs upon graduation from high school.
6. Too many persons are trained in fields where there are too few jobs, and the system is to slow in responding to emerging needs.
7. Cooperative efforts between city planners and the business, industry, and labor communities need to be increased.
8. There is a need for more and better counseling and the development of effective placement programs for selected minority groups.
9. The roles of social workers need further definition.
10. There is a lack of adequate programs to provide vocational training for handicapped persons.
11. The public sector is not training the numbers of minority men and women which businesses need to comply with the Equal Employment Opportunity Act. (Orlich and Orlich, 1977: 24)

EXAMPLE/EXERCISE

EXAMPLE OF PROBLEM/NEEDS ASSESSMENT

WEAK

Directions:

1. Read the selection.
2. Be prepared to discuss why this is considered a bad example of a proposal needs assessment.
3. Compare your reasons with the professional critique which follows the selection.
4. Rewrite the selection correcting its shortcomings.

SELECTION

Problem Statement/Needs Assessment

The National Institute of Mental Health, using the latest census data, has provided information for the B-County Mental Health Board which states that over 3,000 elderly in our area are at risk with the vast majority of these individuals living alone and on fixed incomes.

Statistics currently available from our outpatient clinic indicate that leads than one percent of the elderly population is utilizing our services. However, a letter from Dr. Random Sample, County Commissioner of Health and Chief of Staff of County Hospital, states that there are many elderly who are living a lonely, depressing existence and who would benefit from contact with the mental health system. He states, "Many of these people visit their family doctors merely for social interaction." He further adds that many times he has been forced to recommend either hospitalization or placement in a nursing home for these individuals because they are no longer able to function alone.

Dr. Sample's observations coincide with recent scientific research (Einstein, 1977) which states:

> It has been documented through mental health literature that groups in our society who are devalued or who lack control over their lives are particularly prone to depression and other emotional problems.

Priscilla Pontiac, Executive Director of Meals on Wheels, states:

> Many elderly sit and rock or lie in bed day after day, with the highlight of their existence a hot meal delivered to them to eat alone.

Fred Footsore, a rural mail carrier, described his findings from occasional meetings with older adults at their mail boxes. Senior citizens shared with him that they seldom receive phone calls, visits, or, ironically, letters.

HANDOUT

CRITIQUE

1. **Who are the people or agencies with whom the applicant is concerned?**

That's not clear at all. Three thousand elderly are mentioned as being "at risk," but no definition of "at risk" is given. It is said that "less than one percent of the elderly population is utilizing our services." If there are 300,000 elderly in the area, then the agency could theoretically be serving every so-called "at risk" senior. The statistics are inadequate in defining the population. With what segment of the elderly population is the applicant concerned?

2. **What is the problem or need that the agency will focus on?**

This also is not clear. Perhaps it is seniors who are "living a lonely, depressing existence," or maybe those who have been recommended for institutionalization because they "are no longer able to function alone." Is it the undefined "at risk" elderly?

3. **Is the problem of reasonable dimensions? Something that can be changed for the better over the period of a grant?**

There is not enough data to know.

4. **In what direction does the problem statement seem to lead?**

One implication is that the applicant believes that too few of the elderly visit the outpatient clinic, and the more should do so. But is it merely for "social interaction" as they are alleged to be doing with family physicians? We don't know. We have no clear statement of their mental health problems, and we assume that it is such problems that would require mental health services. We don't know why more of the elderly are not visiting the mental health clinic, if indeed there is any reason for them to do so. Is it too far for them to go, or is transportation unavailable or too costly? Perhaps the clinic has a poor reputation among the elderly. Also, what percentage of the non-elderly population utilizes the clinic? Perhaps one percent is the clinic's penetration into the entire community. Is that good or bad? What is the percentage of service to different age groups in other mental health clinics?

This is where we are stuck. We don't understand the point of the problem statement. If we were to guess what is coming next, as we should be able to do from a well-prepared statement, we might assume an objective such as: "to rescue the loneliness and depression of a number of the elderly in Bi-County," or "to reduce their riskiness."

5. **Does this statement appear to be concerned with the needs of clients or with the needs of the applicant?**

This is an important question. Too often, proposals appear to describe a problem or need in a community or client population, when in fact they are really concerned with issues internal to the applicant organization. A well-prepared statement requires input from those who will benefit. Otherwise, the problem/need statement is at best the perception of the outsider. At worst, it may be presumptuous and self-serving. In this instance, it is possible that the mental health agency was told that it didn't serve enough of the elderly--perhaps by some outside funding source, perhaps by some group of advocates for the elderly who wished to change the policies and/or programs of the clinic. There is no evidence that the elderly or agencies dealing with the elderly (other than Ms. Pontiac's) were involved in the development of the proposal. (Kiritz, 1979: 47-48)

EXAMPLE/EXERCISE

EXAMPLE OF A NEEDS/PROBLEM STATEMENT

GOOD

Directions:

1. Read the selection.
2. Be prepared to discuss your critique of this selection as a good example of a needs/problem statement.

SELECTION

Problem Statement/Needs Assessment

According to the statistics of the U.S. Forest Service, the number of people using wilderness areas has increased by 10 percent each year since 1968. The impact of this dramatic rise can be seen in almost every back country region of the U.S. In the Wind River Range of Wyoming, the 800 students that the Outdoor School annually takes into the range used to make up 40 percent of the total man-hours of usage in the range. Today, the same number of students accounts for less than one percent of the total usage. The scars of campfires, latrines, broken branches used for firewood, and refuse are common sights in this once pristine area. To eliminate impact is impossible, but to minimize this damage and shorten the regeneration time of damaged wilderness is a goal that can be accomplished.

A 1972 doctoral dissertation by Ed Cology, currently professor of environmental studies at the University of Colorado, Boulder, pointed out that

> the techniques which The Outdoor School developed have reduced the impact of individual campers on the wilderness by 40 to 60 percent.

Over a three-year period, Dr. Cology studied the initial impact and gradual regeneration of over 100 temporary campsites (one to three days of impact) of Outdoor School expenditures. Dr. Cology concluded that the techniques which are continually being developed by the Outdoor School can be a valuable resource for today's wilderness user.

Another statistic which tragically substantiates the rise in wilderness use, and the lack of skill in coping with the wilderness, is the increase in back country deaths over the past five years. The Bureau of Land Management reports that accidents resulting in death have risen by 250 percent, from 710 to 1780, during that time. Many of these deaths, the Bureau reported, could have been prevented by an awareness of basic safety precautions.

Existing educational institutions have attempted a solution by expanding course offerings to include wilderness training. But their curricula are less than adequate. Over 50 colleges, adult education centers, and youth groups have contacted The Outdoor School over the past six months seeking assistance in the development and implementation of a wilderness curriculum. Typical of their requests is this from Dr. John Quandry, Headmaster of The Perplexed School:

> We are about to start a wilderness skills unit within the context of our environmental awareness curriculum. I was dismayed by the lack of curriculum materials available from traditional sources. I hope that you

> will be able to help us to adapt the materials and information which you use so effectively in your own program.

Similarly, a public school teacher in Tulsa, Oklahoma, who is a graduate of the school's Outdoor Educator's Course, wrote:

> They really don't have a set curriculum package for the program and are relying on me to use the skills I leaned with you to provide the day-to-day subject matter. I was wondering, in this regard, whether you have developed any teaching aids.

The 50 institutions requesting assistance from The Outdoor School are spread across a four-state area of heavy wilderness use. Dr. Forbush, the regional director of the Environmental Protection Agency, states: "Of all the wilderness areas in the country, this area suffers from the heaviest degradation. Accidental loss of life is six times the national average for such areas."

By assisting the 50 cooperating institutions to develop wilderness training skills similar to its own, The Outdoor Schcol seeks to reduce this impact on the environment and to reduce the loss of life caused by campers' lack of skills. (Kiritz, 1979: 49-50)

MODULE IV

THE WHAT SECTION OF THE PROPOSAL

MODULE IV

THE WHAT SECTION OF THE PROPOSAL

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MODULE IV

THE WHAT SECTION OF THE PROPOSAL

GOAL: The goal of this module is to acquaint the student with the components of the WHAT section of a proposal, their functions, characteristics, and acommon flaws.

OBJECTIVES: At the conclusion of this module, the student should be able:

1. to discuss the role of the WHAT section of a proposal in relationship to the other sections.
2. to list the components of the WHAT section of the proposal.
3. to discuss the role of **Program Objectives**_in a proposal.
4. to discuss the differences among goals, objectives, hypotheses, and research questions.
5. to discuss the functions of **Program Objectives** in a proposal.
6. to discuss the characteristics of **Program Objectives** in a proposal.
7. to list and discuss five types of **Program Objectives** used in a proposal.
8. to discuss common flaws of writing **Program Objectives** in a proposal.
9. to recognize examples of good and weak **Program Objectives** and be able to discuss reasons for their strengths and weaknesses.

THE WHAT SECTION OF THE PROPOSAL

TEACHING STRATEGIES

This module presents the WHAT section of a proposal and the components which are contained within it.

FOR THE INSTRUCTOR: This module can be used as the basis for developing a lesson plan on the components of the WHAT section of a proposal. There is textual material, student handouts, student exercises, and examples of good and weak components at the instructor's disposal.

FOR THE STUDENT: This module can be used by the student either:

1. as a **STUDY GUIDE** for use in a classroom setting, or
2. as **SELF-PACED INDIVIDUALIZED** material.

There are exercises and examples of good and weak proposal components which bring into focus a practical application of the textual material presented in this module.

In studying for an examination or a review, go over the module objectives and try to answer them as questions.

MODULE IV

THE WHAT SECTION OF THE PROPOSAL

OVERVIEW

The What Section of a proposal discusses the institution's intended change. What will your project do? What will the funder's money purchase? And, especially, what difference will your project make in the world? This section is made up of the projects goals and objectives. This module will discuss the various types of objectives, the function of program objectives in the proposal, characteristics, and common flaws. There is a checklist which a student can use to evaluate good program objectives, and there are several exercises for students to become used to identifying good and bad examples of program objectives.

COMPONENT 6: PROGRAM OBJECTIVES

The intended outcomes of the project, stated in precise and direct terms, comprise the major portion of the objectives or outcomes component of the proposal. This section's length and format will vary according to the type of project proposed and the writing instruction of the expected funding source.

Within the last ten years, expectations for the content of the objectives section of an application have changed significantly. Previously, many funding sources tolerated a proposal narrative which emphasized proposed activities rather than intended project accomplishments. In some cases, proposals were funded where the applicant could claim "success" simply by completing all tasks on time. Little thought was given to insisting that the proposal provided a framework for judging whether the project achieved a desired impact or produced worthwhile results.

This is no longer the case. Funding sources have become increasingly critical of proposals that contain no clear cut statement of purpose. At least two factors have significantly influenced this change:

-- The competition for support has increased to the point where funding agencies simply cannot afford to underwrite projects with ambiguous aims.

-- Knowledge of how to state intended project outcomes in more precise and measurable terms has increased substantially. (Hall, 1977: 153-55)

Goals

Proposal writers may want to include both statements of **goals** and statements of **objectives** in their proposal. These two terms are frequently confused because both describe a desired condition or outcome. However, these two types of statements usually differ on dimensions of specificity, accountability, and time.

Goals are included in proposals to provide an overall conceptual orientation to the ultimate purpose of the project. They are usually more abstract in content, broader in scope, less subject to direct measurement, and focused on a more long-term perspective. Most proposals will probably not include more than a few goals. The writer who begins to draft a lengthy list of goals should reconsider whether some of these might be more appropriate presented as objectives.

Objectives

An **objective**, on the other hand, should be specific and concrete, more likely to be measurable and more likely to address short-term or intermediate accomplishments. A proposal may have several objectives and depending on the complexity of the project, these may be of several different types: **behavioral, performance, product, process**, and **research**. The following example shows the relationship between a **goal** statement and an objective statement:

Goal This program is designed to prepare parents to function independently and effectively in helping their children develop to their own potentials.

Objectives The parents who participate in the program will be able to:

1. identify the educational content in events that occur in the home;
2. structure sequential and cumulative instructional tasks in the home for the child;
3. observe the child and use checklists to monitor progress;
4. use available equipment and process in the home to teach children specific skills; and
5. use packaged materials prepared by the project or other agencies in teaching specific skills.

In reviewing this example, the goal conveys the overall intent of the entire program. The objectives, however, are written to explicitly identify five accomplishments for which information can later be collected to judge whether these were achieved. (Hall, 1977: 155-56)

Hyphotheses

In research proposals, intended outcomes are more commonly stated as **hypotheses** or **questions**. **Hypotheses** should be stated in such a way that they can be tested by securing information to judge their truth or falsity. Hypotheses should not be stated in the null form and should always be included wherever there is a basis for prediction. One example of such a statement is as follows:

Hypotheses There will be an increase in formalization of procedures for identifying competencies, developing competency measures, measuring competencies, and incorporating competencies into instruction.

In this proposal, the objectives section was limited to a few short statements outlining the scope and focus of the project. The specific research hypotheses were discussed only in the procedures component.

Research Questions

Research proposals also frequently include **questions.** These are used in lieu of hypotheses in exploratory studies or in projects of a survey research nature. **Questions** should be phrased very specifically to indicated the **exact** nature of the proposed inquiry.

The following example of research questions comes from a proposal that included a three-part approach to stating outcomes. First, the author listed a general objective. Following each objective, he listed a series of general research questions, each of which was followed by more precise sub-questions presented in narrative form. Each objective had from two to six paragraphs of research questions attached.

Objective A. To hypothesize a model for implementing accountability systems by analyzing previous experience and research.

Question What procedures and phases typify accountability system implementation? What formal and informal forces are relevant, and how do they interact? What are the roles of administrators, committees, governmental bodies, outside consultants, educational

> researchers, and business officials? How do the tensions between self-perception and external perception of these roles affect the linkages among implementation procedures and phases? What criteria are relevant for assessing the success of implementation and its components, and can this success be systematically related to role tensions and perceptions? To what extent is the nature of implementation symptomatic of underlying organizational philosophies? How does implementation design and execution incorporate behavioral concerns? (Hall, 1977: 158)

Function of Program Objectives

The statement of objectives provides a starting point for the development of activities and established the criteria for program evaluation. The ability of objectives to serve these functions is affected greatly by the care given to developing the needs assessment or problem definition.

General objectives or goal statements:

1. identify the purpose of the program and the major outcomes of the proposed activities, and
2. serve to organize the planned activities when project activities can be broken down into discrete but related components.

Specific objectives:

1. stipulate the individual accomplishments that, when considered collectively, will determine whether the project has realized the proposed general objectives or goals,
2. provide criteria to assist both the developer in identifying appropriate activities and the project manager in assessing the progress of the program,
3. provide criteria against which the project evaluator will develop and implement evaluation strategies,

4. reflect the conceptualization of the problem, thereby influencing the format of the proposal narrative and the intervention strategies to be selected. (Warren, 1980: 186-87)

Characteristics of Program Objectives

One common characteristic should prevail in all statements of general or specific objectives and hypotheses or research questions: the statements should provide the means to make definitive statements of accomplishment (or nonaccomplishment), confirmation, or rejection. Objective statements should:

1. describe the condition that will exist if previously assessed needs are addressed as anticipated by the proposed activities,
2. provide the specifications for the anticipated individual accomplishments of the project that, when considered collectively, constitute the goals or general objectives,
3. set the criteria for determining the project's success in identifying earlier needs (criteria may be developed directly from the needs assessment),
4. represent the applicant's selection or desired accomplishments most appropriate to the needs identified earlier (these accomplishments should represent outcomes that the submitting institution feels it can achieve),
5. be stated so that there is no confusion regarding their achievement. (Warren, 1980: 187)

Kinds of Objectives

The following discussion will explain and provide examples of four types of objectives commonly found in projects that focus on utilization and application of knowledge (i.e., demonstration, development, training, and service proposals) and contrast these with example of objectives in projects whose primary purpose in to develop new knowledge (i.e., research proposals).

Behavioral Objectives

Outcome statements that deal with human performance in one of the three behavioral domains (cognitive, affective, or psychomotor) are usually classified as **behavioral objectives.** A behavioral objective should include information that answers the four questions:

1. Who is going to perform the specified behavior?
2. What behavior is expected to occur?
3. Under what circumstances will the behavior be observed?
4. How is the behavior going to be measured?

An example of a project outcome that meets this criteria is:

Behavioral Objective	During an in-service workshop, high school mathematics teachers will demonstrate their comprehension of diagnostic and prescriptive techniques as measured on a staff-developed test.

Performance Objectives

Performance objectives are statements that must include information that address the same four questions specified for behavioral objectives; but in addition, a performance objective must also answer:

1. What amount of time is necessary to bring about the specified behavior?
2. What is the expected proficiency level?

To be classified as a performance objective, the previous example might be reworded as follows:

Performance Objective	At the end of a four-day inservice workshop, the participating high school mathematics teachers will demonstrate their comprehension of diagnostic and prescriptive techniques as measured by a minimum gain of 10 raw score points on a staff-developed pretest and posttest.

This type of objective is frequently considered more desirable than the behavioral objective because it brings a specific element of time to the outcome (which aids in structuring the necessary procedures and resource requirements) and it adds a performance criterion (which aids in evaluating whether the objective has really been achieved).

In writing either behavioral or performance objectives, two guidelines should be given special attention:

1. Care should be exercised to describe the behavior that is to be demonstrated as precisely and specifically as possible.
2. Special effort should be made to establish expected performance levels which are realistic. (Hall, 1977: 164-65)

Product Objectives

The term **product objective** may be used by funding sources in one of two ways: either to refer to the behavior expected of project participants (thus making this type of objective synonymous with behavioral or performance objectives) or, more commonly, to refer to a concrete item to be produced by the project (such as a book, training materials, a film, a report).

A product objective should answer each of the following questions:

1. Who will produce the product?
2. What is the product that will be developed?
3. When will the product be available?
4. Who will evaluate the product?
5. How will the product be evaluated?

An example of an objective that meets this criteria is as follows:

Product Objective	Within 60 days of receipt of a signed contract, the project staff shall provide five copies of a career education evaluation model which shall be judged at least 90% effective by five of the participating schools on a staff-developed checklist covering the criteria specified by the Office of Career Education. (Hall, 1977: 165-66)

Process Objectives

In many cases the processes which will significantly impact on project success are just as important as product outcomes, particularly in projects where the concern is for the effectiveness of innovative or experimental procedures as well as the actual results of these efforts.

Process objectives can be of many different types, covering such areas as teaching, learning, materials development, administration, counseling, evaluating, and advisory group participation. In deciding whether process objectives are necessary, ask the following questions:

-- Is the inclusion of this process as an objective essential for explaining the benefits of the project?

-- Will the funding source not understand why procedures and resources are included for this process unless it is mentioned as an objective?

-- Will it be necessary to address this process as a significant element in the evaluation component of the proposal?

If the answer to these questions is "yes," then a process objective is needed.

In writing the content of such statements, the following questions may be answered:

1. Who is the group or individual that will perform the process?

2. What is the activity or performance that will result from the process?

3. How will the process by evaluated?

Here are two examples of good process objectives:

Process Objectives In discussion of social issues, student interaction with the teacher and with other students will show a statistically significant increase indicated by the number of comments or questions directed to the teacher and other students. Using an interaction analysis technique, observers will record the number of interactions in a

> sampling of experimental and regular social studies classrooms.
>
> Community representatives will participate actively as council members, as determined by the degree to which they fulfill their established project roles in the planning and operational stages of the program. Active participation will be judged on a majority of positive responses to a structured interview with all council members, selected project staff, and a random sample of target area parents. (Hall, 1977: 167-68)

Research Objectives

The objectives included in research proposals are as varied in style and content as the titles of the applications. They also differ because of preferred style or various academic disciplines or the instructions of particular funding sources. The following guidelines for research objectives might be useful:

-- Make the objectives specific and concrete so they provide a clean-cut criteria against which the rest of the project can be judged.

-- Keep them short.

-- Make them explicit rather than implicit and don't imbed them in a running narrative.

-- Make them achieveable.

-- List them in priority order (unless another display format makes better sense given the structure of the rest of the proposal).

Here are some examples:

Research Objectives The purposes of this project are:

> To determine the existence and characteristics of features we hypothesize to exist in all major coastal upwelling regions.

> To identify the time and space scales of the upwelling process off Peru.
>
> To investigate the response of the velocity field to variations in the wind, sea level, and density structure. (Hall, 1977: 168-69)

Common Flaws to Program Objectives

There are some common flaws for program objectives which must be guarded against. These flaws fall into two categories: structural flaws and technical flaws.

Structural Flaws

1. The statements of objectives are neither directly related to the problem definition nor derived from the assessment of needs presented earlier in the proposal document.
2. The objectives are not relevant to the intent of the funding agency, as provided in the program announcement or the Rules and Regulations governing the solicitation.
3. Individual objective statements are not organized to show their relationship to specific need statements or specific activities identified in preceding or following proposal components.
4. The relationship between general objectives and/or goal statements and specific objectives is not clear.

Technical Flaws

1. Anticipated outcomes are not identified in terms of performance outcomes or product specifications. (What is to be done? Who will do it? Under what conditions is it to be done? What criteria will be used to determine if it has been done?)
2. The proposal fails to differentiate between performance and management objectives, process, and product objectives.

HANDOUTS

Checklist for Program Objectives

Do's and Don'ts for Program Objectives

Action Verbs Used in Program Objectives

HANDOUT

CHECKLIST FOR PROGRAM OBJECTIVES

1. Describes the outcomes of the grant in measurable terms.
2. At least one objective for each problem or need committed to in problem statement.
3. Objectives are outcomes.
4. Objectives are not methods.
5. Describes the population that will benefit.
6. States the time by which objectives will be accomplished.
7. Objectives are measurable, if at all possible.

Kiritz, 1979: 55)

HANDOUT

DO'S AND DON'TS FOR PROGRAM OBJECTIVES/OUTCOMES

DON'T bury the outcomes in a morass of narrative so that the reviewers have to search them out.

DON'T confuse outcomes with procedures. This is one of the most commonly made mistakes. Remember, outcomes are intended to state what will be done, while procedures should be limited to describing how this will be accomplished.

DON'T include more objectives than are absolutely necessary. In the late 1960's, during the first blush of the "accountability" movement, funding sources sometimes encouraged applicants to include objectives for every conceivable aspect of the project. Then asked, for example, that even the management of the project be first presented through the objective format. This is seldom the case nowadays. Unless the writing instructions direct otherwise, objectives should be limited to the intended outcomes of the project and should not be proposed for such areas as project operation.

DON'T promise more than can reasonably be accomplished. Funding sources are becoming less tolerant with applicants that promise the world in order to get funds and then later plead for mercy because the outcomes were unachieveable. In the case of contracts, this may even result in monetary sanctions.

DO select an effective format for displaying the outcomes. There are several acceptable models to choose from, including: ordering these by their importance or contribution; organizing the outcomes around various project audiences or groups of participants; presenting the outcomes in chronological order for projects that have several separate phases; or displaying major goals, each followed by more specific objectives, hypotheses, and/or questions.

DO keep each outcome statement as short as possible. However, include enough detail so that each statement is clear and comprehensible.

DO make certain that the outcomes fit the scope of the problem statement and that the procedures comprehensively address all intended accomplishments. (Hall, 1977: 159-60)

HANDOUT

ACTION VERBS USED IN PROGRAM OBJECTIVES

Objectives tell what will be done. This is critical since the intended actions must be clearly state. Normally, statements of objectives begin as: "It is the objective of this proposal to...." A few typical action verbs that act as leads to what will be accomplished are listed below:

apply
build
conduct
determine
examine
illustrate
install
prepare
purchase
regulate
select
train
assemble
classify
demonstrate
develop
feed
implement
observe
produce
reclaim
repair
synthesize
transport
assess
compare
design
evaluate
identify
increase
plan
provide
reduce
review
test
validate

As you examine the above list of action verbs remember that each one requires an object of the action. The object will specify to whom or to what the action will be addressed. The following is a good example of the use of an action verb in a performance objective with a clearly defined object of that action:

> The objective of this project is to provide meal service to 150 identified senior citizens who are unable to do so themselves who live in the Broadmoor District. (Orlich and Orlich, 1977: 7-8)

EXAMPLES/EXERCISES ON PROGRAM OBJECTIVES

Writing Objecitve Statements

Weak Examples

Good Examples

EXERCISE

WRITING OBJECTIVE STATEMENTS

To focus your thoughts on writing objective statements, try this exercise. Take a sheet of paper and fold it in half lengthwise. Keeping if folded, write What Is at the top of the left side of the page and under it list the major characteristics of the problem area or issue, and the client group, that you want to change. In other words, write down the conditions of your issue or problem as they exist in the status quo.

Then turn the page over, label the right side of the page What Will Be, and describe the changes that your project will have brought about by its final day. It may be that you have only one central goal in mind. Or, more likely, there will be a number of possible goals, tanging from the specific to tyhe highly abstract, from the trivial and obvious to the global and nebulous. List them all.

Once you have a representative number of itesm in the goals--say between five and ten--the next step in to go back and narrow the gap between the two extremes, the superficial and the grandiose, and concentrate on those in the middle range, those that are ambitious but feasible. Also, as you go through your first list you will notice interrelationships between certain items, and you will begin to note where one item is a general statement (which can be turned into a goal statement) and another item will be a detail (which can be turned into an objective).

So you have to become critical about what is a broad goal and what is a more specific and limited objective, a concrete milestone along the way to achieving more abstract purposes. You also have to distinguish clearly between ends and means, between where you want to go and how you want to get there.

Next try to narrow yhour first list down to one central, overreaching goal. It should encompass all the midensions of your project and yet be specific enough so that a funder can immediately grasp what it is you are after. Cast it in formal terms the first time around and then rewrite it more casually for submission to less formal funders. If possible, write it in the form of a two-part sentence, containing a first clause that sums up what you want to do, followed by a secondary clause that conveys how you intend to accomplish it, in general terms. (Smith and Skjei, 1980: 178-81)

HANDOUT

EXAMPLES OF PROGRAM OBJECTIVES:

WEAK

Since objectives and problem statements are so closely related, we will examine both in the following example.

Directions:

1. Read the selection.
2. Write or be prepared to discuss your critique of why this is considered an example of poor program objectives.
3. Then compare your critique with the professional critique which follows the selection.
4. Rewrite the selection correcting the weaknesses.

SELECTION

Problem Statement

Twenty-five percent (40,825) of the area's 160,000 population is estimated to be below the poverty level. Families in the area suffer from lack of adequate nutritional meals, due to limited income from which to purchase food.

There are many complex and interrelated reasons for nutritional problems. Inadequate income is a major cause of poor nutritional status. Other factors include lack of knowledge;

complications of disease; sedentary life styles; mental and emotional factors; social isolation; lack of food preparation and storage facilities; consumer confusion and misinformation; overabundance of foods of low nutritional value; and high cost.

Adequate food and sound nutrition are essential to good health. Not only are they crucial for human survival and key factors in the prevention and recovery from illness, but they are prerequisites for improving the quality of life of the low-income citizen.

Objectives:

The objective of this program is to improve the opportunities of low-income persons to gain access to participation in federal and nonfederal food and nutrition programs by employing a nutritionist and staff who will conduct training sessions for outreach staff and monitor federal food and nutrition programs in the area.

HANDOUT

CRITIQUE

The objective of "improving the opportunities" is not measurable. It also hedges about whether more individuals will actually participate in these food programs as a result of the planned program. All that follows the "by..." is method. Because the problem statement specifically talks of nutritional problems (but fails to provide any evidence of these problems), we would hope to find at least one objective that projected an improved diet for the program's beneficiaries. The applicant has not examined the problem in any detail. Rather, the applicant has a program in mind, and has set down in the problem statement the proposed program activities. You can be sure that "lack of knowledge" (who lacks knowledge about what?) will lead to an educational component; "lack of food and preparation facilities" is setting us up for the providing of such facilities (whatever they are and whatever their purpose). The problem statement is inadequately defined, assuring our inability to state specific objectives and raising serious questions regarding the potential benefit that might come from this program. (Kiritz, 1979: 53)

HANDOUT

EXAMPLE OF PROGRAM OBJECTIVES:

GOOD

The following selection is considered a good example of program objectives.

Directions:

1. Read the selection.
2. Critique the selection identifying its strengths in the use of program objectives.
3. Be prepared to discuss your critique with the class.

SELECTION

Problem Statement

Washington and Hancock Counties, Maine, lie in the most northeastern corner of the United States. The area has a population of slightly over 70,000, of which more than 85 percent live in rural areas. In almost all categories of employment, health services, and income, the area is disadvantaged compared to state and federal figures. The Maine Department of Manpower has cited unemployment ranging up to 29 percent over the past several years, during which time the national average never exceeded 8 percent.

Incomes in the area are extremely low. One-third of all families have incomes under $5,000 annually. Seventy-four percent have incomes under $10,000. Within the state of Maine, which has the lowest per capita income in the U.S., Washington County has the greatest percentage of families below the poverty level. Of the employed labor force of 32,000, more than 30 percent work in seasonal jobs (e.g., cutting pulp, lobstering, or clamming) and are paid the minimum wage.

At this same time, there are several underutilized natural resources in the area, including shellfish, low-grade hardwood, and peat moss. Department of Interior surveys in 1977 revealed that there were more than 200 million tons of peat moss in the area. The market price of Maine peat moss is currently $50 per ton. Currently, only 5,000 tons of peat are mined each year in Maine, while the U.S. annually imports as much as one million tons of similar quality at comparable prices (see U.S. Bureau of Mines, 1976 Annual Report).

Peat moss production is an industry involving a number of activities, including mining or harvesting, drying, grading, packaging, and shipping. End products include pear pots and filters for septic systems and industrial use. A 1977 U.S. Economic Development Administration Report established the strong market potential of peat and peat products. But traditional economic development strategies, such as community industrial parks and plant relocation, have not been successful in stimulating industry to locate in the area. Maine's location in the extreme northeastern section of the U.S., and the anticipated high transportation costs of products and raw materials, are cited as one significant reason (1977 State of Maine Labor Department report). Peat, however, costs less to transport from Maine to major U.S. cities than it does to transport from the maritime provinces of Canada, the source of most imported peat.

Critical to this issue is the unrealized economic value of raw pear moss. At the bog, the value of Maine peat is $.025 per pound. A supermarket in Washington, D.C. sells peat as a soil conditioner in three-pound bags for $1.79, or $.59 per pound. The total cost of harvesting, drying, grading, packaging, and shipping raw peat allows not only a substantial profit for the entrepreneur, but promises the employment on a more regular basis of persons with a wide range of skills. The development of the peat moss industry in this area of Maine is the subject of this proposal.

Objectives:

This proposed program has two primary objectives. First, to increase employment in the peat moss industry in Hancock and Washington Counties from the current (1977) 150 workers to 500 workers by October 1980. This increase will come from local workers who are presently unemployed or seasonally unemployed with annual incomes of under $5,000. Second, to increase the annual peat production in these counties from the current 5,000 tons to 500,000 tons by October 1980, thus generating $25,000,000 in new revenue for the area. (Kiritz, 1979: 53-54)

MODULE V

THE HOW SECTION OF THE PROPOSAL

MODULE V

THE HOW SECTION OF THE PROPOSAL

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THE HOW SECTION OF THE PROPOSAL

GOAL: The goal of this module is to acquaint the student with the components of the HOW section of a proposal, their functions, characteristics, and common flaws.

OBJECTIVES: At the conclusion of this module, the student should be able:

1. to discuss the role of the HOW section of a proposal.
2. to list the components of the HOW section of the proposal.
3. to discuss the **Methods and Procedures** component of the proposal and distinguish it from the program objectives.
    a. to discuss the function of the **Methods and Procedures** component.
    b. to discuss the characteristics of the **Methods and Procedures** component.
    c. to discuss and recognize the common flaws of the **Methods and Procedures** component.
    d. to recognize the strengths and weakness of good and weak **Program Activities**.
4. to define and discuss the **Program Management** component of a proposal.
    a. to discuss the function of the **Program Management** component of a proposal.
    b. to discuss the characteristics of the **Program Management** component of a proposal.
    c. to recognize and discuss the common flaws of the **Program Management** component of a proposal.
5. to discuss the requirements of a **Staffing** statement in a proposal.

6. to describe the elements of a good **Facilities** statement in a proposal.

7. to define and differentiate among a **Gantt Chart, a PERT Chart,** and **a CPM Chart.**

8. to discuss the importance of a good **Program Evaluation Design** component of a proposal.

    a. to discuss the function of a **Program Evaluation** in a proposal.

    b. to discuss the characteristics of a **Program Evaluation Design** in a proposal.

    c. to list and discuss the types of **Program Evaluation Designs.**

    d. to recognized and discuss the common flaws of a **Program Evaluation Design.**

    e. to distinguish between good and weak **Program Evaluation Designs.**

9. to discuss the significance of a **Dissemination** component of a proposal.

10. to discuss the proper place and function of the **Appendix** in a proposal.

THE HOW SECTION OF THE PROPOSAL

TEACHING STRATEGIES

This module presents the HOW section of a proposal and the components which are included in it.

FOR THE INSTRUCTOR: This module can be used as the basis for developing a lesson plan on the components of the HOW section of the proposal. There is textual material, student handouts, student exercises, and examples of good and weak components at the instructor's disposal.

FOR THE STUDENT: This module can be used by the student either:

1. as a **STUDY GUIDE** for use in a classroom setting, or
2. as **SELF-PACED INDIVIDUALIZED** material.

There are exercises and examples of good and weak proposal components which bring into focus a practical application of the textual material presented in this module.

In studying for an examination, go over the module objectives and try to answer them as questions.

MODULE V

THE HOW SECTION OF THE PROPOSAL

The HOW section of the proposal, usually called the Project Description, is the heart of the proposal. Here you show your funder exactly how you plan to get from the first day to the last day of the actual operation of the project, the point at which your intended changes should have materialized in three-dimensional reality.

The parts of the HOW section of the proposal are listed differently by different authors, but for the most part, the major components include: the **Program Activities** or **Methods and Procedures**; the **Program Management**, which includes **Staffing**, **Facilities**, and a **Work Plan**; the **Program Evaluation Plan**; and **Dissemination**.

COMPONENT 7: PROGRAM ACTIVITIES OR METHODS AND PROCEDURES

When needs and problems have been described and objectives stated, the next step is to spell out the methods by which you propose to achieve those objectives. The terms "method," "methodology," "activities," "procedures," or "strategies" may be used, but this portion of the proposal describes the steps to be taken to achieve the desired results.

This task, in large part, is a function of the care with which earlier sections of the proposal were developed. The accurate assessment of needs and setting of objectives identifying the particular needs to be addressed, determine appropriate organizational and content parameters for the proposed activities. If projected accomplishments are realistic, and based on documented needs, and are stated in quantifiable terms, then defining and communicating the proposed activities is simplified greatly. If needs are unclear and objectives are open to varying interpretations, the obstacles to effective task completion are almost insurmountable.

Function

The activities or methods and procedures component serves at least three major functions in presenting the case for funding:

1. It provides the funding agency with the performance and management specifications for the project.

2. It sets program and management expectations for submitting institution administrators, project staff, and all other groups affected by the program.

3. It provides an opportunity for the submitter to gain credibility by demonstrating a knowledge of alternative approaches and applications to the selection of activities and strategies that comprise the proposed program. (Warren, 1980: 194)

Characteristics

The preceding functions of the activities component apply to both research and training or service delivery projects. The characteristics of the two types of proposals are sufficiently difference, however, to discuss the characteristics of each separately.

Training or service delivery activities should:

1. be organized to enable a reader to relate activities planned with objectives set;

2. provide a reader with the sequence of events and indicate both anticipated starting and completion points for each event or set of events;

3. be sufficiently specific to enable a reader to know who will be doing what at what time, and who and how many will be receiving the benefit of the planned activity at any given time;

4. indicate, whenever possible, anticipated outcomes of specific activities in the form of product specifications, level of service delivered, or skills attained by participants;

5. indicate the way ongoing evaluation may contribute to adjustment of activities as project proceeds; and

6. include a summary statement in the form of a milestone chart or bar graph that depicts the beginning and end for individual activities, the sequence of activities,

and the relationship between discrete sets of activities.

The characteristics of the research proposal, as opposed to the training or service delivery proposal are as follows:

Procedures/Methods

Provides specific discussion of design, sampling, analysis, and instrumentation.

1. Design Characteristics

   a. Includes discussion and rationale for how the study will be undertaken; relates to previous research

   b. Identifies independent and dependent variables, with specifications of which are to be manipulated, which are to be controlled, and which are to be left uncontrolled.

   c. Accounts for all hypotheses identified in objectives

   d. Identifies sequence of steps for carrying out design

   e. Presents as appropriate, rationale for each design decision

2. Sampling Characteristics

   a. Identifies sample size and indicates generalizability to population

   b. Provides rationale type of sampling

3. Analysis Characteristics

   a. Indicates methods to be used and how consistent with objectives, design, and sampling

   b. Indicates why particular mode of analysis selected and details how analysis will be carried out

4. Instrumentation

   a. Describes conceptual and operational measures used in study

b. Discusses prior instrumentation; where appropriate discusses reliability and validity of the measures

c. Identifies anticipated end-products (Warren, 1980: 196-97)

Common Flaws

One of the frequent weaknesses in presenting the **Methods** or **Procedures** section of a proposal is the tendency to only describe what will be done, but not to describe how it will be done. Most of the flaws commonly found in the **Activities** component stem from the writer's failure to understand the function of this section. The statement of proposed activities is a response to a request for management and performance specifications to govern the actions of all parties involved in project implementation. It is not a call for general exposition of project goals; it is not a statement of general intent; and it is not a statement of an approach to a general problem or the reiteration of the submitter's past efforts to address the problem. Specific symptoms of this failure to understand the function of this component include:

1. little or not display of knowledge of other published or recently completed work;
2. specific plans for conducting activities missing or not linked to objectives;
3. time lines unrealistic or missing, particularly regarding start-up dates and schedule for realization of process objectives;
4. poor organization and/or overly long description (reader is unable to identify what will occur at what time);

5. principles of good design, validity, and reliability of data in surveys, test protocols, and controls for observer's bias not followed (research proposals), or findings from earlier training or service delivery projects not incorporated into program design; and

6. guidelines not adhered to for presentation of activities and/or types of activity authorized by funding agency. (Warren, 1980: 203-04)

HANDOUTS

Checklist

Elements for Procedures in Demonstration, Development, and Service and Training Proposals

Elements for Procedures in a Research Proposal

Examples

- Weak
- Good

HANDOUT

CHECKLIST

Use the following checklist for evaluating a **Methods or Procedures** component of a proposal.

1. Describes the activities to be conducted to achieve the desired objectives.
2. Flows naturally from problems and objectives.
3. Clearly describes program activities.
4. States reasons for the selection of activities.
5. Describes sequence of activities.
6. Describes staffing of program.
7. Describes clients and client selection.
8. Presents a reasonable scope of activities that can be conducted within the time and resources of the program.

HANDOUT

ELEMENTS FOR PROCEDURES IN DEMONSTRATION, DEVELOPMENT, SERVICE AND TRAINING PROPOSALS

Section	Information To Be Included
Introduction (Optional)	This section can briefly summarize the project's procedures and alert the reader to the format for the rest of the narrative. It may also include a discussion of the conceptual or theoretical base for the project and provide evidence of why this is appropriate, feasible and potentially effective.
Approach	The narrative describing the specific type of program to be initiated. The program should be separated into distinct activities. These may be presented in sequential phases or organized by broad categories (such as material development, field-testing, information collection and so forth). You should describe how the various activities will proceed over the course of the project period and include a clear description of significant events or accomplishments. Visual timelines are useful. If not covered in an introduction, you should also include a justification for the project's approach. Unless presented as separate components, this section should also describe any intended evaluation and dissemination of project results.
Participants	The individuals or organizations who will participate in and/or receive services from the project should be described. Procedures and criteria for their selection should be provided as well as the plan for securing cooperation.
Accomplishments To Date (Optional)	Some projects will relate to earlier work by you or your organization. You may wish to briefly describe the status and results of these efforts and show how the current project will expand, reinforce, improve, revise or build on previous activities.
Administration (Optional)	Unless included in the personnel component, you should provide a description of the management and governance of the project. You should show how your project will relate to the administrative structure of your organization. The roles and responsibilities of project staff, consultants, advisory groups and participating agencies may also be included here.
Products/Outcomes	While information on the actual results and products of your project will have been covered earlier, it is a good idea to briefly summarize these again. You may also discuss the intended contributions to other significant audiences or to future work.

(Hall, 1977: 177)

HANDOUT

ELEMENTS FOR PROCEDURES IN A RESEARCH PROPOSAL

Section	Information to be Included
Introduction (Optional)	This section can prepare the reviewer for the type of methodology to be used in the project (i.e. survey, experimental, longitudinal, formulative, case studies and so forth). It may be used to call attention to any innovative or unusual techniques being employed. It may also include a description of the format for the rest of the procedure's narrative.
Population (Optional)	If appropriate, provide a description of the population that is to be studied and include relevant details on sampling procedures, subject or site selection, securing of participation and so forth.
Design	The narrative describing the specific research to be conducted and the way it will be carried out. Usually, this section includes a discussion of the theoretical base for the research (including citations to other studies), identification of research variables, elaboration of research questions or hypotheses, and the specific activities to be completed. Unless covered elsewhere, this section may discuss any evaluation planned and the intended dissemination of project results.
Instrumentation and Data Collection	A presentation of the specific measures and procedures chosen to collect necessary data. Details on establishing validity and reliability of such instruments should be provided for any self-developed instruments. Either here or in the design, you should also cover procedures you will use to insure that results are generalizable.
Analysis	Define the methodology and criteria to be used in analyzing and judging the resulting data. Again, evidence of the appropriateness of such techniques should be provided.
Work Plan	The project activities should be arranged in a logical sequence and timelines for their accomplishment should be displayed. You can organize this by event, function or chronological phases. You can display this information through narrative, charts, schedules or diagrams.
Administration (Optional)	Describe the intended management of the project. Discuss role and responsibility of project staff and any other groups or agencies involved. This section can, as an alternative, be included with the personnel component.
Accomplishments to Date (Optional)	If you or your organization have related research, ongoing or recently completed, you may wish to describe this and its status. This discussion should be used to justify your expertise and experience and show how the current project will contribute to earlier efforts.

(Hall, 1977: 178)

HANDOUT

EXAMPLE

METHODS SECTION OF A PROPOSAL

WEAK

Directions:

1. Read the selection.
2. Be prepared to discuss why this is a weak Methods section.

SELECTION

Methods

Our program involves touring three productions and workshops to a minimum of 50 schools, community cultural centers, and public sites. Our target audience is approximately 20,000 youth.

HANDOUT

EXAMPLE OF METHODS SECTION OF A PROPOSAL

GOOD

Directions:

1. Read the selection.
2. Be prepared to discuss the strengths of this Methods section.

SELECTION

Methods

The age group involved in the theater's education program will be from 12 to 18 hears--the junior and senior high school level. A cross section of 79 schools in the Gotham City Unified School District will be reached. These schools represent a range of ethnic and economic areas in the city, and will be selected with the assistance of school district personnel (see enclosed letter form the Superintendent's office).

Two plays will be presented to each student body within a five-month period. One of these five months will be used for rehearsal and for final arrangements on booking of the shows. The subject matter of the plays will relate to the literature being studied in English classrooms in these schools. The eight high school English teachers on our Advisory Committee have held three meetings with theater staff to discuss material. Their recommendations to date are contained in the attached report.

As has been discussed with the teacher/advisors, presentations (consisting of a cast of four and one narrator) will focus on high points and important moments in the subject matter, emphasizing main characters and their relationships within the story. Students will then be involved in a discussion of the material, and of the presentation, with the actors.

Programs utilizing a theatrical presentation in the schools have been given to primary and secondary age students in Gotham City by Twelfth Night Repertory Company. Performances dealt with minority culture and origins and also with the problem of drug abuse. While no information was sought on the impact of these presentations, 90 percent of the schools requested an additional program or wished the same program to be repeated again.

A program similar to the theater's has been presented in England for five years. Initiated in 1974 to augment normal learning techniques, this program has had remarkable success. A 1978 survey conducted by the London Council on Education stated, "students involved in this project increased their grades by an average of 10 to 20 percent" compared to students in similar classes who did not see the performances. In addition, school attendance increased, both for performance days and also for classes to which the performances were related.

COMPONENT 8: PROGRAM MANAGEMENT

The component of **Program or Project Management** includes the elements of **Staffing, Facilities**, and **Timing**. A writer might choose to make a separate heading for each of the above or to combine them into one heading on **Project Management**. At any rate, these elements are tied in with the **Procedures** section of a proposal and may be considered subheadings of the **Methods** component.

Function

The project management component serves two sets of functions: 1) those relating to the program exposition and 2) those with implications for project initiation.

Functions Relating to Exposition:

1. It confirms and operationally defines the relationship between individual groups, and institutional units identified as participating parties in earlier components of the proposal.
2. It provides a means for setting program features against staff assignments, and fixes the responsibilities of parties identified earlier as central to project implementation.
3. It serves as an information base for generating proposed project costs and negotiating final budgets, should project approval be forthcoming.

Functions Related to the Initiation of the Project:

1. It defines the mechanisms for recruiting personnel and establishing the timelines for personnel selection.

2. It identifies the procedures for making intraprogram decisions pertaining to project operation and staff appointments (and dismissals).

3. It identifies the procedures for making intrainstitutional decisions regarding both project and staff appointments.

4. It relates staff assignments to prescribed activities set against prescribed timelines. (Warren, 1980: 214)

Characteristics

Although the specific elements and the amount of detail included in this component will vary with the guidelines for a particular submittal, the previously cited functions can be addressed by insuring that the management component:

1. contains an organizational chart and accompanying narrative that specifies the manner in which authority for decision making is distributed.

2. contains an implementation plan, setting the major events or milestones against a timeline for initiation and completion. (If a timeline is provided in the earlier summary of activities, the implementation plan may simply include a schedule of events drawn from the earlier summary.)

3. delineates clearly the programmatic and administrative responsibilities of all project personnel. To the degree possible, and as relevant, responsibilities should include specifications of outcomes for which individuals will be held accountable.

4. summarizes qualifications of staff relevant to their roles in the proposed project. This presentation should enable the reader to sense the appropriateness of the assignment as well as the qualifications of the individual. (Resumes may be attached as an appendix.) (Warren, 1980: 215)

Common Flaws

The following specific flaws common to this component reflect the distance between program content and necessary management structures.

1. Role definitions or job descriptions of staff are not sufficiently delineated for the reviewer to relate responsibilities of individual or associate personnel to program activities presented earlier.

2. Timelines for implementing the project are inconsistent with those set by the funding agency. They are inconsistent with the authorized start-up date and seriously underestimate the number of tasks that must be completed before the program is fully operational.

3. When open or consultant positions are requested, there is neither sufficient definition of these positions nor the criteria for personnel selection top communicate the necessity for these position(s) to those reviewing the proposal. (Warren, 1980: 220)

STAFFING

This section of the **Procedures** or the **Project Management** component should include information on the following:

-- How will the project be administered?

-- What are the key project positions? What are their roles?

-- How are other project personnel to be utilized?

-- How will project personnel be selected? What criteria will be used?

-- How does the project relate to other units in your organization? What is the chain of command?

-- Are other agencies involved in the project and if so, what are their roles?

-- What are the roles of any consultants and advisory bodies? How will these individuals be selected? What criteria will be used? How will participation be secured?

The information should serve three purposes:

1. to lay out the administrative rules of the game for the project and thus avoid confusion and later misunderstandings;
2. to explain clearly to the funding source who will be responsible for the project and its various activities; and
3. to build necessary justification for your budget requests.

This latter point is very important. For example, if funds are to be included for a significant number of consultants, their role in the project and their contribution to its success must be documented. Money may also be needed to pay travel and per diem expenses of advisory board members or to cover the cost of staff services to such groups. The importance of these individuals to the project must be explained. (Hall, 1977: 191)

Use organizational charts. Be sure to include:

-- the organizational structure affecting project operation,

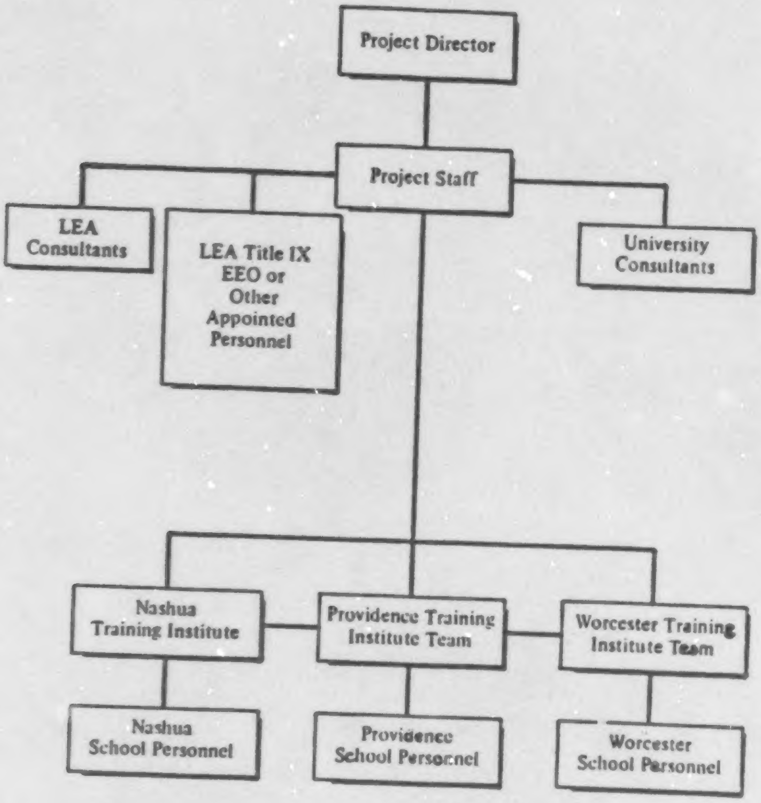
-- responsibilities for decision making clearly identified and directly linked to individuals or offices identified in the organizational chart,

-- the role definitions or job descriptions and the qualifications for all major staff positions included.

-- resumes of the principle staff members in the appendix of the proposal. (Warren, 1980: 220)

An example of an organization chart and how it fits a proposal follows:

Organizational Chart


Project Director
Project Staff
LEA Consultants
LEA Title IX EEO or Other Appointed Personnel
University Consultants
Nashua Training Institute
Providence Training Institute Team
Worcester Training Institute Team
Nashua School Personnel
Providence School Personnel
Worcester School Personnel

Each project staff person is responsible for communication with 1 LEA

A. Project Director

The director will be responsible for the overall implementation of every phase of the program: The development and conduct of the summer training institute; the development and conduct of three one-day on-site workshops per school system; the coordination of nine on-site training meetings for core teams and other designated school personnel in each school district; the planning and conducting of two day-long follow-up workshops for core teams; and the planning and facilitation of a day-long dissemination conference for urban school districts.

B. Project Staff . . .

(Warren, 1980: 219)

FACILITIES

The space, equipment, and environmental factors required for the project may be implicit from the procedural methods already described, but they must be specified and assurance given that they can be provided. If the institution where the work is to be done is making facilities available, the basis for the agreement concerning their use must be stated, i.e., what is being contributed, what must be reimbursed from grant funds. If facilities at institutions other than the project site are to be used, an official statement authorizing their use should be attached. (White, 1975: 242-43)

WORK PLAN/TIMING

The specific activities needed to implement the procedures and their planned sequence make up the **Work Plan** of the proposal. It is a good idea to summarize these in a separate section clearly identified by the label **Work Plan** or **Project Timelines.** The major purpose of this sections is to indicate the appropriate dates on which major accomplishments and products will be completed and to show the reviewer how the activities will be spread throughout the project period.

Most proposal writers recommend that you use charts, graphs, or other types of diagrams to present your project timelines for key activities. Unless the project is very short or has only a few activities, the reviewer may become lost if this discussion is only presented in narrative form.

There are many techniques to choose from in presenting your **Work Plan**, including **PERT** (Program Evaluation Review Technique), **GANTT** Charts, the Critical Path Method (**CPM**), or simple time charts. Examples of these three methods are displayed on the next three pages.

You should adapt these to your particular need. Those such as Gantt Charts are most useful for depicting dates in relation to activities. PERT and CPM are most useful for showing the intended interrelationships among events.

Most experienced project planners use some type of work sheet to develop the information they then summarize in a timeline included in the proposal. In doing this, they consider information such as:

-- the specific activities that must be carried out and the amount of time each will take,

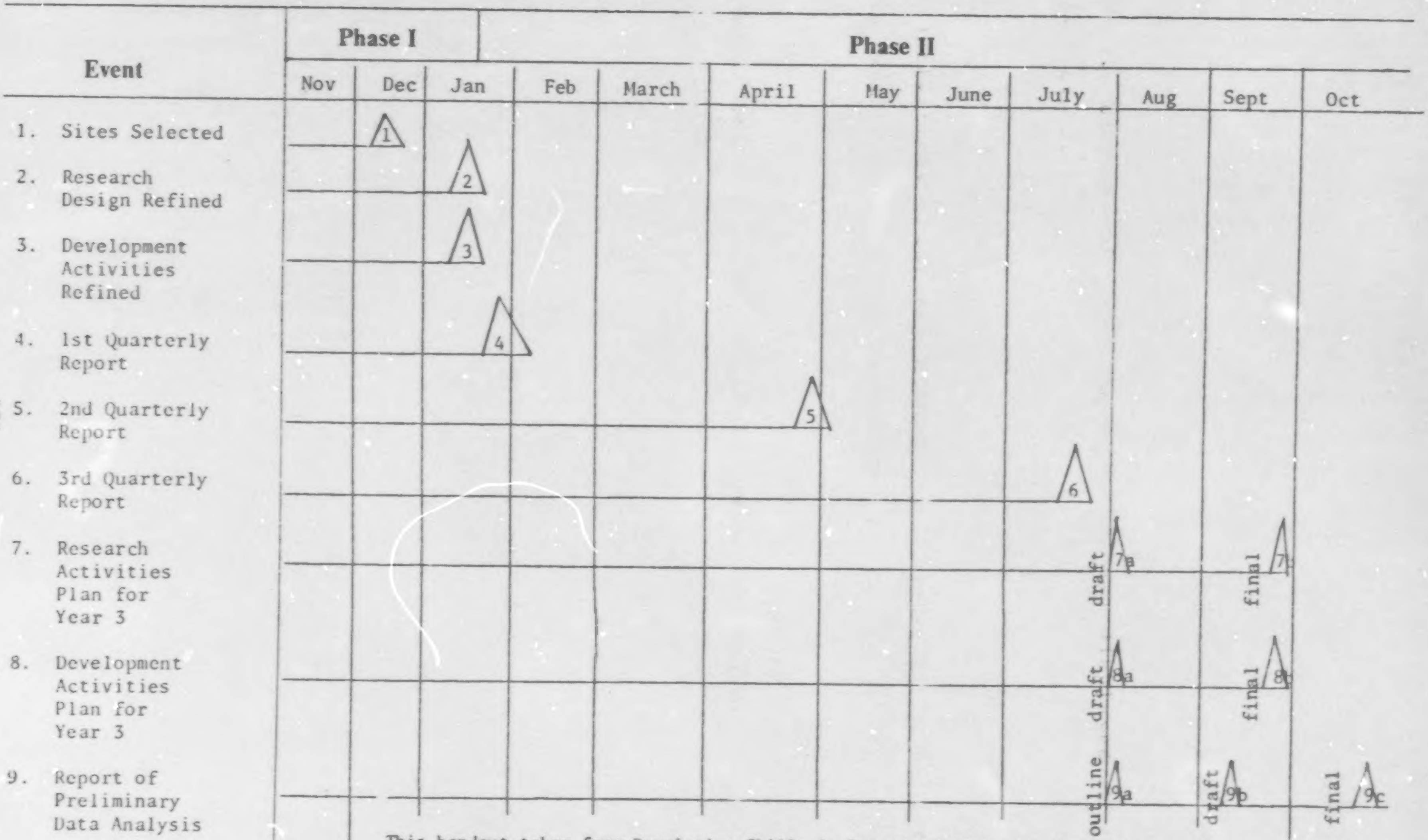
-- the order in which the activities must be accomplished,

-- the amount of staff and consultant help that can reasonably be expected for each activity, and

-- the amount of "down time" that can be anticipated, such as holidays, vacations, sick leave, etc.

If after considering all of these issues you feel that the projected timeline will exceed the anticipated grant period, you should consider modifying your procedures. If this seems impossible, you may want to go back and scale down the entire project--starting with a further delimitation of outcomes. (Hall, 1977: 187-90)

Example of a Gantt Chart

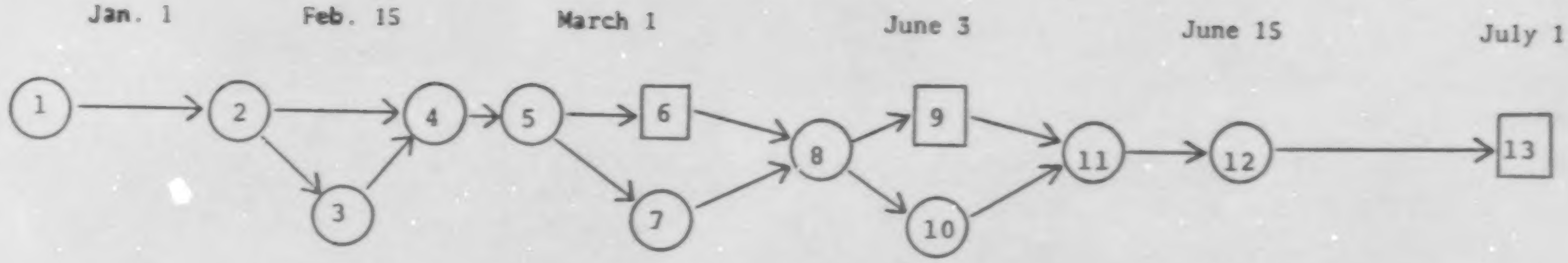


This handout taken from Developing Skills in Proposal Writing by Mary Hall, 1977.
Available from Continuing Education Publications, P.O. Box 1491, Portland, OR 97207.

BEST COPY AVAILABLE

Example of a PERT Chart*

Program Schedule
(dates will be adjusted according
to project starting date)



	Activity
1-2	Hire Staff
2-3	Secure consultants
2-4	Outline paper content
4-5	Draft position paper
5-6	Forum review of paper
5-7	Conduct literature search
6-8	Synthesize findings/paper
8-9	Review with funding source
8-10	Validate paper with forum members
9-11	Revise paper
11-12	Edit final paper
12-13	Production of final paper

Symbol Code

○ Begin or end activity

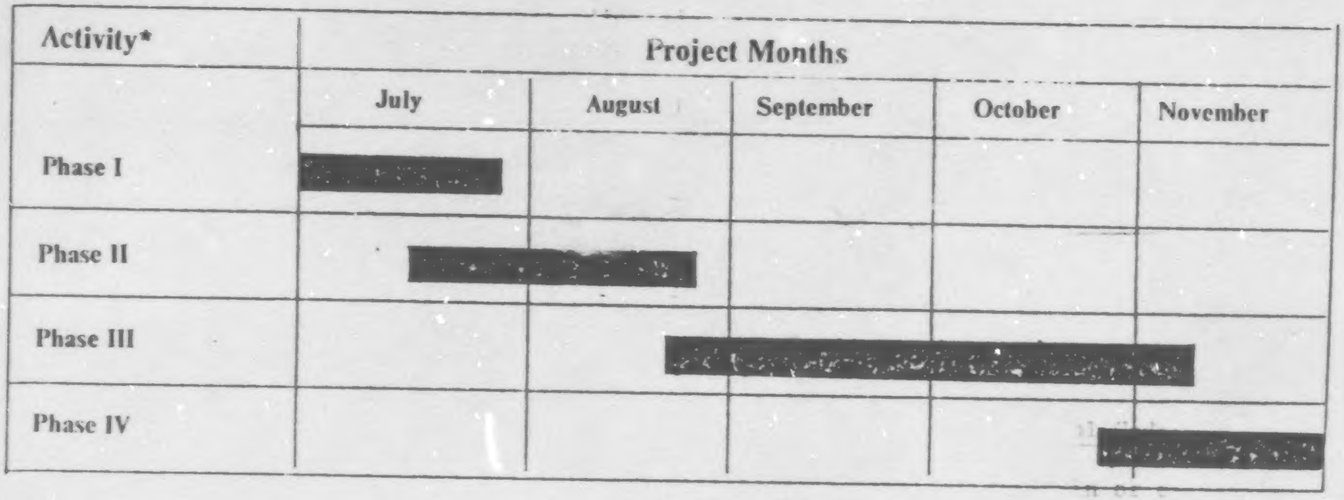
□ Milestone event

---

*This chart was adapted from a much more elaborate PERT diagram included in a project whose purpose was to prepare position papers outlining needed research in a field. The writers included a diagram of this type for each major phase of the project. This example just deals with one such phase.

This handout taken from Developing Skills in Proposal Writing by Mary Hall, 1977.
Available from Continuing Education Publications, P.O. Box 1491, Portland, OR 97207.

Sample of a Simple Time Schedule



*The activities which constitute each phase were described earlier in the proposal. This type of chart is suitable only for providing a quick overview of major project elements.

This handout taken from Developing Skills in Proposal Writing by Mary Hall, 1977.
Available from Continuing Education Publications, P.O. Box 1491, Portland, OR 97207.

COMPONENT 9: PROGRAM EVALUATION

As funding agencies have become increasingly sensitive to demands for accountability, the importance of proposals including strategies for assessing project activities has increased. In the mid-1960s, many evaluation sections of proposals were little more than postscripts to the narrative; the submitter made a token gesture to accountability by indicating that a third party would develop and carry out evaluation activities. Within the last decade, however, program management and evaluation has become almost as important as program content. Evaluation design and strategies are now an integral part of the proposal, reflecting on the quality of the program and often figuring significantly in the proposal rating.

Importance

A good evaluation plan is important to a proposal for the following reasons:

1. The funding source's acceptance of your evaluation plan reduces the chance of its conducting its own evaluation of your program in ways for which you are not prepared.
2. Designing a product evaluation forces you to examine the clarity of your objectives, the ease with which they can be measured, and the possibility of their being achieved. For this reason, you need to consider the concept of program evaluation at the beginning of and throughout the program planning process.

> 3. Process evaluation may allow you to achieve economies in the conduct of your programs, as you examine the costs and benefits of its different aspects.
>
> 4. Process evaluation allows for the redirection of your efforts, as you determine which elements of your methodology have or do not have the desired results.
>
> 5. Evaluation can provide administrators with data on which to base program decisions.
>
> 6. Evaluation can provide staff with data to reinforce their efforts or to recommend new directions in which to move.
>
> 7. Evaluation can be used by policy makers as a tool in directing the agency into productive channels.
>
> 8. Evaluation, when it show evidence of the strengths of your programs, can provide motivation to clients and potential clients of the organization.
>
> 9. Evidence of the evaluation of prior efforts reassures current and future funding sources for the diligence and sincerity of the applicant.
>
> 10. Evaluative data is a powerful instrument for an agency's public relations program.
>
> 11. Evaluations can help others in your field to anticipate problems in implementing similar programs and provide yardsticks against which they may measure their success. (Kiritz, 1979: 60)

Function

> Evaluation is any systematic process which is designed to reduce uncertainty about the effectiveness of a particular project and its results. (Hall, 1977: 194)

The evaluation design and accompanying strategies serve both programmatic and management functions in the exposition of the proposed program. Specifically, the evaluation component allows the writer to programmatically:

1. define anticipated accomplishments and inform interested parties how success will be determined and communicated; and

2. set objectives against a timeline for expected accomplishment.

The writer can use the evaluation component to summarize the anticipated activities and outcomes of the proposed project with a high degree of specificity, thereby demonstrating to the reviewer the care and precision with which the proposed program has been developed. The evaluation activities can also serve two critical management functions:

1. Directors and staff can obtain information about project operation that will enable the adjustment of activities necessary to realize project objectives.

2. After project completion, all interested parties will possess information that may assist future program development. (Warren, 1980: 204-05)

Characteristics

The evaluation plan is usually designed to answer questions of "decision" in a proposal. All decisions can be classified as pertaining to ends (intended or actual) to the means (intended or actual). Ends and means include:

-- intended ends (goals),

-- intended means (planned procedures),

-- actual means (procedures in use), and

-- actual ends (attainments). These categories inform four types of decisions a project director will be called on to make in evaluating the project:

1. context evaluation--planning decisions to determine objectives,
2. input evaluation--structuring decisions to design procedures,
3. process evaluation--implementing decisions to utilize control and refine procedures,
4. product evaluation--recycling decisions to determine project accomplishments.

Context evaluation calls for both empirical and conceptual analysis contributing to the development of program objectives. Input evaluation provides information concerning the utilization of resources available to the developer. These two types of evaluation, ideally, should be carried out before document development. Evidence strongly suggests, however, that such systematic evaluation is absent in the designing of projects or, for that matter, in most educational and social programs. Since the evaluation strategy is generally set after a course of action has been decided, the characteristics of the evaluation section are generally drawn from process and product evaluations. The evaluation design should:

1. identify the functions the evaluation is designed to serve (the audiences to the served, the nature of the information);
2. identify (from the objectives) criteria against which the information will be judged;
3. identify the sources of information, the instruments and measures for collecting the information, and a master schedule for information collection;
4. provide a format for organizing the information and the means of analyzing it;
5. specify the audiences for the evaluation reports, the

means of disseminating the information, the schedule for dissemination;

6. define staff responsibilities for carrying out the evaluation and determine the schedule for reporting findings and producing reports. (Warren, 1980: 205-06)

Types of Evaluations

1. **Formative Evaluation** produces information used to improve a project during its operation. The primary audience for this information if the project staff and only occasionally, the careful monitor in the supporting agency. Many funding sources do not require formative evaluation; yet, it is probably the most importance aspect of evaluation for project personnel. It helps them determine:

-- whether their processes and procedures are working;

-- whether project materials and sound and effective;

-- whether participants and clients are satisfied with their services.

-- It may also produce information that is appropriate for use in requests for project renewal--particularly if such applications have to be submitted soon after the project's initiation.

The primary function of formative evaluation is to help you make necessary modifications prior to the termination of the funds and the end of the project. It is essentially a tool for good management. Its inclusion, in some for, is definitely recommended for most proposals and it should be allocated specific resources. It is a type of evaluation that may even be of use in research-type projects.

2. **Summative Evaluation**, on the other hand, involves the collection of data necessary for judging the ultimate success of the completed project. Its audience is only incidentally the project staff (who at this point can do little to correct already-made mistakes). Summative evaluation's major purpose is to document the extent to which the project's outcomes were achieved. Its users are the funding source and other audiences interested in the project's results. This is the type of evaluation most commonly requested in proposals.

3. **Pay-off or Impact Evaluation** is designed primarily to help judge the overall worth and utility of a project's results. Unlike summative evaluation, it is not particularly concerned with finding out whether the project did what is promised. But it is very much concerned with whether these achievements have any value. This type of evaluation can occur both during a project's operation (i.e., in the formative stages) or at a project's termination (i.e., summative stages). Regardless of when it occurs, it focuses on the value of the project's effects and the ends to which the project's means were directed. Its audience may thus be both the project staff and the funding sources, plus other types of policy makers who are concerned about the ultimate value of externally funded activities.

4. **Context or Antecedent Evaluation** tries to answer the question of what factors exist in the project's environment or its history that may influence project conduct and outcomes. As with pay-off evaluation, this type of information gathering may

influence both a project's operation and the value of its outcomes. It is thus useful to a wide range of audiences. Unfortunately, few funding sources actually request that context evaluation be provided; yet its omission may diminish the value of any other type of information gathering. Hall, 1977: 196-98)

Designing the Evaluation Plan

There are at least three essential steps for the writer to take prior to actually constructing the discussion of evaluation in a proposal:

1. To decided if any evaluation is warranted and, if so, who is going to construct its design.
2. To arrive at a definition of the desired evaluation and check this with other significant project audiences.
3. To determine the broad purposes and audiences for the proposed evaluation. (Hall, 1977: 198)

Once these questions have been answered and the decision has been had to develop an evaluation plan, there is a sequence of steps you may wish to consider in actually developing the evaluation component of the proposal:

1. **Clarify program objectives.** Product evaluation requires objectives that are clear and measurable. If an evaluation expert is to be involved in the process, use this person to re-examine the objectives stated in your proposal, and consider the rewriting of objectives to insure that a product evaluation can be performed.
2. **Determine the potential audience for the evaluation.** People inside and outside your agency may have a variety of different questions that they want answered. For example, your agency may be questioned about its services to low-income clients. Several board members, a local politician, and a funding source might feel that your program does not serve the poor as

well as it does the middle class. In such a situation, you would have to pay special attention to gathering data that describes the demography of your clientele, and to examining services and benefits to clients with different income levels. Specific evaluation questions can thus come from a consideration of who will be looking at you evaluation.

3. **Will you conduct a process evaluation, a product evaluation, or both?** The funding source for any particular grant application may specify product or process evaluation as a requirement, or may use other terminology. Be sure you are clear as to what is wanted. It is a good idea to include both types of evaluation in your proposal. Distinguish between the two and show how they relate to each other.

4. **Who will conduct the evaluation?** The basic consideration here is that of "in-house" of "out-of-house" evaluation. Financial constraints may limit your ability to employ outside persons. There are other considerations. To what extent will the funding source evaluate the program? Will you be able to utilize the funding source evaluations to your benefit, or should your evaluation view the funding source efforts as likely to require more depth on your part? Will program staff participate as evaluators? This may be very effective. On the other hand, it may consume more time than can be allowed program staff, may call for different expertise than they have, or may produce bias in reporting due to inherent self interest. Staff of the agency other than those involved in the program may be used, as could outside consultants working independently or with agency staff.

5. **Should the evaluation include an analysis of cost-benefit or cost-effectiveness?** Cost benefit analysis is an attempt to relate the costs of a program with its social benefits. Cost effectiveness assumes that of two programs which have approximately the same social benefits, the one that costs less is more cost-effective. With increasing concern about the dollars spent for social programs, an analysis of costs and benefits, where possible, would be appropriate. For example, a community alternative to imprisonment for youthful offenders was initially denied funding. A rewritten proposal focused on the fact that while the agency's recidivism rate was comparable to that of a state institution, the cost per offender was one-fourth what the state institution was spending. The project was funded and the funding source reviewer commented that

the cost comparisons were a primary factor in the project's having been approved.

6. **How will evaluation data be collected?** Your selection of a data collection mechanism will depend on the nature of your program, the state of the art of evaluation in your field, the degree of rigor you wish to achieve, and your resources. Some of the many ways of gathering your evaluation data are:

    -- pre- and posttesting on standardized instruments that are accepted in your field;

    -- interview procedures;

    -- client, staff, and evaluator observations; and

    -- examination of statistics describing your population (drawn from agencies who regularly gather such statistics).

7. **How will the evaluation data be analyzed?** If data is to be analyzed statistically, the techniques to be applied must be considered in planning the evaluation. Different statistical techniques require different methods of data collection. A simple questionnaire can be so poorly designed as to make the transfer of information a laborious, if not impossible, task. Open-ended interviews, to be encoded for purposes of comparison, may require months of analysis merely to establish the criteria for coding. If the appropriate data is not collected in the appropriate way, analysis may be useless.

8. **How will the evaluative information be reported?** What does the funding source ask for? How and when will evaluation information be fed back to staff in order to allow for program change and improvement? Should the actual report be prepared in more than one version for presentation to the several audiences that may be interested? (Kiritz, 1979: 61-62)

The important point to keep in mind when designing an evaluation plan for a proposal is that the proposal **Need, Goal, Objective, Procedure,** and **Evaluation** components are interrelated and flow logically and in a connective manner from one to the

Proposal Design Chart[1]

Need	Goal	Objective	Procedure	Evaluation
To provide alternative learning opportunities for students who do not benefit from the regular mathematics program.	To assist selected high school students acquire independent study skills in mathematics.	Forty students selected from the tenth grade will be able to demonstrate newly acquired independent study skills by successfully completing a test on a major segment of the mathematics curriculum every two months. Success will be determined by the students achieving a score of 80 percent or more. The test will be devised by an independent consultant.	A mathematics teacher will provide one hour of orientation instruction each week, pointing out the major areas of information to be covered. Supplementary reading material will be distributed following each session. Students will also be given a set of self-tests for each curriculum component. A tutor will be available during the week to answer questions.	A mathematics teacher will administer the test every two months, grade the exams, and report the results to the project director. The director and an independent study consultant will meet with each student to discuss their test results and assist in designing additional independent study to remedy any deficiencies.

---

[1] This chart provides only one example in each proposal category. There might, in fact, be several procedures or evaluation strategies for this same objective. A completed chart, including all major items in a proposal, could be several pages long.

This handout taken from Developing Skills in Proposal Writing by Mary Hall, 1977.
Available from Continuing Education Publications, P.O. Box 1491, Portland, OR 97207.

other. The following chart illustrates this connection among the various proposal components.

Common Flaws

Writers often forget that "useful information" anticipated in the evaluation component come from the well-defined objectives of the proposal. Proposal writers should avoid the following common flaws when designing an Evaluation component:

1. Strategies for gathering data are not specified and timelines for the sequential collection of information are lacking.
2. The type of information to be collected is not specified and criteria for evaluating the information are not adequately defined.
3. The criteria for evaluating the information and decisions are only peripherally related to the proposed objectives.
4. Strategies for the collection of information fail to meet scientific criteria for a valid evaluation (e.g., technical prerequisites for reliability, validity, and objectivity are not taken into consideration.)
5. Audiences the evaluation is designed to inform or serve are not identified. (Warren, 1980: 213)

HANDOUTS

Checklist

A Check on Proposal Continuity

Example of an Evaluation Plan

Checklist for Judging the Adequacy of an Evaluation Design

HANDOUT

CHECKLIST

An **Evaluation Plan** presents a plan for determining the degree to which objectives are met and methods are followed.

1. Presents a plan for evaluating accomplishment of objectives.
2. Presents a plan for evaluating and modifying methods over the course of the program.
3. Tells who will be doing the evaluation and how they were chosen.
4. Clearly states criteria of success.
5. Describes how data will be gathered.
6. Explains any test instruments or questionnaires to be used.
7. Describes the process of data analysis.
8. Describes any evaluation reports to be produced.

HANDOUT

A CHECK ON PROPOSAL CONTINUITY

Problem(s)	Objective(s)
1. Proliferation of weeds resulting from a recent irrigation project has reduced sugar beet yield in the affected area by 50 percent; farmers' control costs are $75 per acre. An experimental weed seed screen is available, but its cost effectiveness has not been tested.	1. To increase sugar beet yield in one-half the acreage by 25 percent per acre. 2. To reduce weed control costs in one-half the acreage by 50 percent or $37.50 per acre. 3. To determine the cost effectiveness of the weed seed screens.

Then:

Objective(s)	Method(s)
1. To increase sugar beet yield in one-half the acreage by 25 percent per acre.	1. Introduce weed seed screens into one-half the furrow-irrigated acreage in affected area.
2. To reduce weed control costs in one-half the acreage by 50 percent or $37.50 per acre.	2. Same as above.
3. To determine the cost effectiveness of weed seed screens.	3. Take weed counts and assess weeding costs in screened vs. non-screened acreage.

Then:

Objective(s)	Evaluation
1. To increase sugar beet yield in one-half the acreage by 25 percent per acre.	1. Compare harvested sugar beets in screened acreage vs. previous yield vs. unscreened acreage.
2. To reduce weed control costs in one-half the acreage by 50 percent.	2. Compare weed control costs in screened acreage vs. previous cost vs. unscreened acreage costs.
3. To determine the cost effectiveness of the weed seed screens.	3. Combine 1 and 2 above and compare costs of purchasing, installing and maintaining screens with costs of conventional weeding practices on a per acre basis.

It is interesting to add the staffing requirements to this table, for it may show that half the population of the community is needed to fulfill all of the requirements of the proposal. The final chart might look like this:

Problems	Objectives	Product Evaluation	Methods	Process Evaluation	Staff Required

(Kiritz, 1979: 73)

HANDOUT

EXAMPLE OF AN EVALUATION PLAN

Directions:

1. Read the selection.
2. Be prepared to discuss the strengths and weaknesses of this proposal **Evaluation Plan.**

SELECTION

Evaluation

A local fire department plans to expand its fire prevention program. The objective is to "reduce losses to persons and property by reducing the number of fires in the community." More specifically, the department wishes to reduce the number of preventable fires by increasing the frequency of fire department inspections of residences and businesses. In the past, there has been no satisfactory method of separating the impact of some major fire prevention programs, such as pre-fire inspections, from the effects of other factors. It has been hard to determine whether increased resources devoted to inspection should indeed reduce the rate of fires. The procedure that will be introduced in this program is the collection of data on the percentage and rate of fires deemed relatively preventable by inspection.

As the department plans its evaluation process, it considers "the number of fires that are relatively preventable by inspection, per 1,000 residences." Changes in this rate, over time, may indicate the impact of their inspections; a decrease would presumably demonstrate their value. The program's benefits might also be demonstrated by the number of fires deemed preventable by inspection and a reduction in the number of fires in homes and businesses that have been inspected, compared to those that were not inspected.

The department is also concerned about process. For example, the ability to identify "relatively preventable" fires would be easier if fire-cause categories were defined with that purpose in mind. For example, rather than reporting only that a mechanical defect caused a fire, as is typically done, it would be useful to know whether the defect was one that could be seen or otherwise easily detected during an inspection.

In this way, the department fashions both its product and process evaluation. The department then produces a chart listing the aspects of the problem to be examined, the specific measures to be employed, and the means to be used in gathering data:

Objective	Data to be Gathered	Specific Measure	Data Collection Procedure
Reducing the number of fires	Reported fire incidence rate	Number of reported fires per 1,000 population, total and by type of residential occupancy	Evaluator obtains data generally available from department records
	Reported building fire incidence rate	Number of building fires per 1,000 occupancy types (e.g., single-family dwellings, duplexes, apartments, mobile homes, small stores) and by fire size	Number of occupancies by type may be estimated from planning department data (for residences) or from pre-fire inspection records for commercial/industrial occupancies; fire size estimated by fire officer at scene
	Reported plus unreported building fire incidence rate	Number of unreported plus reported building fires per 1,000 households (or businesses), by type of occupancy	Evaluator surveys a representative sample of citizens and fire incident reports; reasons for underreporting would also be solicited
	Preventability of fires	Percentage and rate of fires that are relatively preventable by inspection or education	Intended for internal fire department analysis based on judgements as to the relative preventability of various types of fires
	Pre-fire inspection effectiveness	Rate of fires in inspected vs. uninspected (or frequently inspected vs. infrequently inspected) occupancies, by type of occupancy and risk class	Data obtained by linking fire incident reports to fire inspection files

HANDOUT

CHECKLIST FOR JUDGING THE ADEQUACY OF AN EVALUATION DESIGN

(This checklist is reproduced from Hall, 1977: 219-27. However, she notes that it has been reproduced without original citation in many documents. She goes on to apologize in advance to whomever was the original author.)

Checklist for Judging the Adequacy of an Evaluation Design

Directions: For each question below, circle whether the evaluation design has clearly met the criterion (Yes), has clearly not met the criterion (No), or cannot be clearly determined (?). Circle NA if the criterion does not apply to the evaluation design being reviewed. Use the Elaboration column to provide further explanation for criterion where a No or a ? has been circled. The word "program" will be used to mean the program, project or product being evaluated.

Criterion	Criterion Met				Elaboration
I. Criteria Regarding the Adequacy of the Evaluation Conceptualization					
A. Conceptual Clarity and Adequacy					
1. Is an adequate description of the whole program presented?	Yes	No	?	NA	
2. Is a clear description given of the part of the program being evaluated?	Yes	No	?	NA	
3. Is a clear description of the evaluation approach given? (e.g., comparison group study, single group study, goal-free evaluation, formative, summative, etc.)	Yes	No	?	NA	
4. Is the evaluation approach adequate and appropriate for evaluating the program?	Yes	No	?	NA	
Based on the above, do you feel the evaluation is clearly and adequately conceived?	Yes	No	?	NA	

(Hall, 1977: 221-27)

Criterion	Criterion Met				Elaboration
B. Scope					
1. Are the intended outcomes or goals of the program clearly specified?	Yes	No	?	NA	
2. Is the scope of the evaluation broad enough to gather information concerning all specified program outcomes?	Yes	No	?	NA	
3. Are any likely unintended effects from the program described?	Yes	No	?	NA	
4. Is the approach of the evaluation broad enough to include measuring these unintended effects?	Yes	No	?	NA	
5. Is adequate cost information about the program included in the scope of the evaluation?	Yes	No	?	NA	
Based on the above, do you feel the evaluation is adequate in scope?	Yes	No	?	NA	
C. Relevance					
1. Are the audiences for the evaluation identified?	Yes	No	?	NA	
2. Are the objectives of the evaluation explained?	Yes	No	?	NA	
3. Are the objectives of the evaluation congruent with the information needs of the intended audiences?	Yes	No	?	NA	
4. Does the information to be provided allow necessary decisions about the program or product to be made?	Yes	No	?	NA	
Based on the above, do you feel the information provided is relevant to and adequately serves the needs of the intended audience?	Yes	No	?	NA	

Criterion	Criterion Met	Elaboration
D. Flexibility		
1. Can the design be adapted easily to accommodate changes in plans?	Yes No ? NA	
2. Are known constraints or parameters on the evaluation discussed thoroughly?	Yes No ? NA	
3. Can useful information be obtained in the face of unforeseen constraints, e.g., non-cooperation of control groups?	Yes No ? NA	
Based on the above, do you feel the evaluation study allows for new information needs to be met as they arise?	Yes No ? NA	
E. Feasibility		
1. Are the evaluation resources (time, money and personnel) adequate to carry out the projected activities?	Yes No ? NA	
2. Are management plans specified for conducting the evaluation?	Yes No ? NA	
3. Has adequate planning been done to support the feasibility of conducting complex activities?	Yes No ? NA	
Based on the above, do you feel the evaluation can be carried out as planned?	Yes No ? NA	

Criterion	Criterion Met				Elaboration
II. Criteria Concerning the Adequacy of the Collection and Processing of Information					
A. Reliability					
1. Are data collection procedures described well and was care taken to assure minimal error?	Yes	No	?	NA	
2. Are scoring or coding procedures objective?	Yes	No	?	NA	
3. Are the evaluation instruments reliable? (i.e., is reliability information included)	Yes	No	?	NA	
Based on the above, do you feel that if the evaluation were conducted again the results would turn out the same?	Yes	No	?	NA	
B. Objectivity					
1. Have attempts to control for bias in data collection and processing been described?	Yes	No	?	NA	
2. Are sources of information clearly specified?	Yes	No	?	NA	
3. Do the biases of the evaluators preclude an objective evaluation?	Yes	No	?	NA	
Based on the above, do you feel adequate steps have been taken to ensure objectivity in the various aspects of the evaluation?	Yes	No	?	NA	

Criterion	Criterion Met	Elaboration
C. Representativeness		
1. Are the data collection instruments valid?	Yes No ? NA	
2. Are the data collection instruments appropriate for the purposes of this evaluation?	Yes No ? NA	
3. Does the evaluation adequately address the questions it was intended to answer?	Yes No ? NA	
Based on the above, do you feel the information collection and processing procedures ensure that the results accurately represent the program?	Yes No ? NA	
D. Generalizability		
1. Are sampling techniques adequate to permit generalizations to the population of interest?	Yes No ? NA	
2. Does the cultural context of data collection techniques affect generalization?	Yes No ? NA	
3. Are the inferential statistics employed appropriate for the sample, data and the questions to be answered?	Yes No ? NA	
Based on the above, do you feel the information collected can be generalized when necessary?	Yes No ? NA	

Criterion	Criterion Met	Elaboration
III. Criteria Concerning the Adequacy of the Presentation and Reporting of Information		
A. Timeliness		
1. Have efficient reporting techniques been used to meet the needs of the clients?	Yes No ? NA	
2. Does the time schedule for reporting meet the needs of the audience?	Yes No ? NA	
Based on the above, do you feel the information is timely enough to be of use to the client?	Yes No ? NA	
B. Pervasiveness		
1. Is information disseminated to all intended audiences?	Yes No ? NA	
2. Are contractual constraints on dissemination of evaluation information observed?	Yes No ? NA	
3. Are attempts being made to make the evaluation information available to relevant audiences beyond those specified in the contract?	Yes No ? NA	
Based on the above, do you feel that information is being provided to all who need it?	Yes No ? NA	

Criterion	Criterion Met	Elaboration
IV. **General** Criteria		
A. Ethical Considerations		
1. Do **test** administration procedures follow professional standards of **et**hics?	Yes No ? NA	
2. **Have** protection of human subjects guide**l**ines been followed?	Yes No ? NA	
3. **Has** confidentiality of data been **guaranteed**?	Yes No ? NA	
Based on the above, do you feel the evaluation **study strict**ly **fo**llows professional standards **of ethics**?	Yes No ? NA	
B. Protocol		
1. Are **appropriate persons** contacted in **the appropriate sequence**?	Yes No ? NA	
2. **Are departmental** policies **and procedures** to be followed?	Yes No ? NA	
Based on the above, **do** you feel appropriate **protocol steps were** planned?	Yes No ? NA	

COMPONENT 10: DISSEMINATION

Many proposals for curriculum development, research, training, and services have a defined outcome or product which will be produced by the end of the project. A funding source is interested in how the product will be disseminated at the end so that the source will not feel as if the money has been spend on too narrow a scope. In addition to the defined product (i.e., curriculum guides, publications, services, etc.), a project can serve as a learning tool for others interested in duplicating or replicating the work plan for their particular needs. These lessons learned which can be of benefit to other like institutions can be presented in the proposal component entitled **Dissemination.**

Proposals often state that the project is a "pilot study," a "prototype," or a "feasibility" study, or that the results would be useful to other institutions. If the latter is the case, how will the results, materials, and projects or plans be made available to others, and how will the transfer be implemented? These questions should be carefully considered before answers and given. Be realistic and practical in anticipating what can and will be done. Funding sources may press for answers to the transferability issue in such a way that the proposer is tempted to contrive such answers, and then you could be stuck with producing and be seen as a failure if you do not produce accordingly.

Your project may have some very clear implications in terms of its applicability elsewhere, or it may already be adapted to dissemination with no difficulty. If you consider a project plan adaptable to another setting, state this in your proposal, explain the means of dissemination, and make any necessary provisions in your budget.

Dissemination can be taken care of through a series of workshops or through a publication. Publications and materials produced by good projects fill many shelves and gather dust unless there is a plan to advertise and make these materials available. It is reasonable to argue that a new method involving computerized instruction could be transferred by making the programs available or by devising a system permitting access to your computer. It is still necessary to explain in your proposal how you will make this known and how you will handle production and distribution, or accessibility of material requested. Often you can write to project directors whose proposals claimed that reports would be made readily available to other institutions only to discover that dissemination ended with 10 or 25 copies because no provisions for distribution had been made in the grant budget or through internal resources. (Belcher and Jacobsen, 1976: 26-27)

COMPONENT 11: APPENDICES

A discussion of the **Proposal Appendix** does not necessarily belong in a discussion of the HOW section of the proposal. It usually gets very little attention when studying the components of a proposal. For this module, however, I have included the discussion in the HOW section because it acts as a reinforcement element in the proposal for the points made in the Methods, Project Management, Staffing, and Project Evaluation sections.

The **Proposal Appendix** is one of the least understood and most misused components of the proposal. The negative impact of inappropriate appendices on the evaluation accorded the total proposal generally does not compare with that of earlier flawed components. The developer who fails to use appendices appropriately, however, fails to take full advantage of the opportunity to demonstrate to the funding agency the planning that has contributed to proposal development. Since one of the overriding stipulations of a proposal narrative is that it flow from component to component, connecting the objectives with the procedures and the procedures with the evaluation, one can help maintain this narrative flow by by placing in the appendix that material which strengthens the case but might distract from the narrative continuity. The **Appendix** is not an integral part of the narrative, but it is an essential to the overall proposal.

Function

The potential contribution of effectively developed appendices can be recognized when one considers that they can:

1. support earlier claims regarding the qualifications and commitment of the submitting institution;
2. demonstrate the level of planning, the degree of participation of affected parties in the development of the proposal, and the commitment of others to the effort; and
3. lend credibility to the submitter by demonstrating familiarity with previous research and/or efforts to address the problem (by providing additional documentation of specific claims made earlier in the proposal). (Warren, 1980: 229)

Characteristics

For an appendix to realize the above functions, it must include the following characteristics:

1. Data and support materials provided in the appendices must be directly relevant to the proposal narrative. References in the narrative should direct the reader to the appropriate appendix.
2. Information should be sufficiently concise to encourage reading of the materials. It should represent a logical extension of earlier points rather than a separate proposal.
3. Only information that cannot be incorporated in the body of the proposal without disrupting the flow of the narrative, thereby distracting the reader from the nature of the project and the need for the program, should be included.
4. Information should provide the reviewer a clearer idea of the nature of anticipated accomplishments and needs contributing to program development than might be possible in the earlier narrative (for example, research or needs assessment data, program planning activities, implementation schedules, prototypes of materials to be developed).
5. Commitments of cooperating institutions, agencies, and

community groups should be as specific as possible and address both the major project features and the roles of cooperating parties.

6. Items that may be included in the appendices include:

   a. resumes of principal personnel,

   b. descriptions of facilities, complementary programs that will enhance program efforts, and affiliations with other organizations relevant to the proposed activities,

   c. program support data, including research abstracts, tables of statistical data, and prototype materials,

   d. letters of support or commitment from cooperating or affected agencies. (Warren, 1980: 229-30)

Not every proposal calls for an appendix. When one is to be included in the proposal, check with the funding agent to see if there is a preferred format. Remember, often a source limits the number of pages which can be used for support material.

Common Flaws

To avoid the mistakes common to the development of appendices, remember that they are, by definition, support materials; appendices must be subordinate to the preceding narrative and must not assume their own identity. Flaws that result from a failure to recognize the proper relationship between the appendices and the program narrative include:

1. Materials provided are not particularly relevant to the proposal narrative.
2. Materials do not provide additional information for assessing the quality of the program, the qualifications of the submitting institution, or the personnel relevant to the proposed activities.

3. Materials are overly general or too lengthy.

4. Materials fail to conform to restrictions set by funding agency.

5. Letters of commitment are lacking or unsigned. (When regulations require such materials, their absence may disqualify the proposal from review.) Warren, 1980: 230-31)

Checklist

1. Appendices are referenced in program narrative?

2. Materials are directly relevant to concerns of funding agency (e.g., qualifications of personnel, institutional commitment, support facilities)?

3. Materials are indexed to facilitate identification of relevant data?

4. Included materials cannot be placed logically within the body of the proposal? (Warren, 1980: 231)

MODULE VI

FUTURE FUNDING AND THE PROPOSAL BUDGET

MODULE VI

FUTURE FUNDING AND THE PROPOSAL BUDGET

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MODULE VI

FUTURE FUNDING AND THE PROPOSAL BUDGET

GOAL: The Goal of this module is to acquaint the student with the **Budget** component of a proposal, **Future** and **Other Necessary Funding.**

OBJECTIVES: At the conclusion of this module, the student should be able:

1. to discuss the importance of including a statement on future and other necessary funding in a proposal.
2. to list and define the components of a proposal budget.
3. to recognize a good proposal budget.

FUTURE FUNDING AND THE PROPOSAL BUDGET

TEACHING STRATEGIES

This module presents the components of **Future Funding** and the **Proposal Budget.**

FOR THE INSTRUCTOR: This module can be used as the basis for developing a lesson plan on the components of **Future Funding** and the **Proposal Budget.** There is textual material, student handouts, student exercises, and examples of good and weak **Proposal Budgets.**

FOR THE STUDENT: This module can be used by the student either:

1. as a **STUDY GUIDE** for use in a classroom setting, or
2. as **SELF-PACED INDIVIDUALIZED** material.

There are exercises and examples of good and weak proposal components which bring into focus a practical application of the textual material presented in this module.

In studying for an examination, go over the module objectives and try to answer them as questions.

MODULE VI

FUTURE FUNDING AND THE PROPOSAL BUDGET

COMPONENT 12: FUTURE FUNDING

A grant is usually funded for a certain period of time. What happens to the project once these grant funds run out? Does the project die? Is the project over? Do you have any plans to continue what was started by picking up the expenses from other sources, probably absorbing the costs into you institutional operating budget.

Function

A funding agency is often very interested in your plans for the proposed activities after the grant expires. This can be a major point which the funding agency looks for in deciding whether to fund you or not. A foundation or government agency is reluctant to fund a project which will die after the grant runs out. They are very interested in helping you get started on a project and then for you to devise your own financial scheme to continue the project into the future.

The **Future Funding** component is the last section in the proposal narrative but by no means is it the least important. If you have not thought beyond the particular grant or grant timeline in question, you may be asking for trouble--particularly if you are awarded the grant. Your ability to complete this section depends on how thoroughly you have considered this grant's relationship to your overall organizational planning.

Characteristics

There are three kinds of approaches to this proposal section, depending on the nature of the proposal:

1. **Future funding for program grants**, where you describe your plan for the assumption of funding by other sources (if the program is to continue when the grant runs out). Here are some ways in which your program might be funded after the grant:

-- If the organization is large enough, and if the program is successful, the organization itself might be able to assume future funding responsibilities. Evidence that you have done this with past programs is one of the strongest arguments for your ability to do it in the future.

-- If your program has a fee-for-service potential (to be paid by the clients, students, etc., perhaps on a sliding scale), then describe your potential client population, including what you know about its income level(s), fees paid for comparable services, and evidence of the client's willingness to pay some fee. Project an annual revenue plan based on this information.

-- Are there third-party payers with whom you might contract to subsidize the services to clients? If so, what do you know about them? Can you contract with them?

-- Do you have a non-grant fund-raising program that is growing, such as an endowment? If so, will it increase sufficiently so that you can use it to continue the project activities after the grant period?

-- Do you have a profitable service or activity that can be expanded to cover costs of running this new program in the future, such as selling publications or curriculum developed by the grant?

-- Are you planning new or expanded fund-raising efforts? What are their chances of success? What is their potential return?

-- Are you applying for membership in some federated fund-raising effort, such as the United Way? What are your chances for acceptance? Will this association promise to include the costs of this new program in your budget allocation?

-- Might some other organization assume the financial or program responsibility for this activity, if it proves to be successful? For example, if your program augments the services of your school district, might they incorporate this program into their budget in the future?

2. Future funding for construction or renovation grants, where you detail the costs of maintaining new or renovated facilities, and show where the funds will come from to cover these costs. You would also discuss any program expansion that would result, and would indicate the source(s) of funds that will cover this expanded program. There are two basic issues to be dealt with in future funding for facilities expansion, whether for new construction or for renovation:

-- What will it cost to maintain this facility and where will the funds come from?

-- Will there be program expansion and where will you get the funds to sustain an expanded program?

Construction of new facilities and expansion of existing ones can be the downfall of a nonprofit organization, the curse of a public agency. Careful planning must be done to insure that the future costs of operation can be covered by secure sources of revenue. You should not apply for this kind of grant unless these costs will be covered. If program expansion is implied, your planning must extend well into the future to avoid the spectre of empty buildings no longer needed for your program activities.

3. **Other necessary funding:** When your request is for funds to purchase a piece of equipment, or for some other nonrecurring cost, you will specify the other funds necessary to support this acquisition and where these funds will come from. For example, if you are requesting money to buy a van for transporting clients,

1. Who will drive the vehicle and how will he/she be paid?
2. What insurance is needed and who will pay for it?
3. What cost have been projected for gasoline, maintenance and repairs, and where will the money come from?

If the nonrecurring request is for research or planning, what provisions have been made for the utilization of the information obtained? If for planning, how will you obtain funds for implementation of plans made? If for research, how will you compile your findings? To whom will these findings go? Have you included the costs for publication and dissemination of your findings? What inquiries might you receive in the future and how will you be able to respond? (Kiritz, 1979: 66-69)

Plan

Options for future funding that grant-supported projects can pursue once the first funding cycle draws to a close fall into six major categories:

1. You can seek a continuation grant from the same funder, that is, support to keep on doing what you have been doing, somewhat refined and improved because you now have much more experience with doing it well.

2. You can also go to another grantor, one who is interested in supporting the area you work in, and preferably one who offers long-term "hard" funding.

3. You can move toward contracts.

4. You can carry Step 3 a bit further and actually begin to explore non-grant sources of income for your project, such as offering your services to your clients for a fee.

5. You can change the basic nature of the project. Typically, the experience of the first year of operation opens up insights into how your efforts could be redirected so as to more appropriately meet your old and new ideas.

6. You can plan to phase out. (Smith and Skjei, 1980: 189-90)

HANDOUTS

Checklist

Examples

- Weak
- Good

HANDOUT

CHECKLIST

Use the following checklist when evaluating the **Future Funding** section of a proposal.

1. Describes a plan for continuation beyond the grant and/or the availability of other resources necessary to implement the grant.
2. Presents a specific plan to obtain future funding if program is to be continued.
3. Describes how maintenance and future program costs will be obtained (if a construction grant).
4. Describes how other funds will be obtained, if necessary to implement the grant.
5. Has minimal reliance on future grant support.
6. Is accompanied by letters of commitment, if necessary. (Kiritz, 1979: 69)

HANDOUT

EXAMPLE/EXERCISE

EXAMPLE OF A FUTURE FUNDING SECTION OF A PROPOSAL

WEAK

Directions:

1. Read the following selection.
2. Be prepared to discuss why the selection is considered an example of a weak **Future Funding** section.
3. Rewrite or be prepared to discuss ways to correct the weaknesses of the selection.

SELECTION

Future Funding

To continue the program operations beyond the OCJP funding, the project will make every attempt possible to seek funds from other sources such as revenue sharing funds, anti-recessionary funds, and any other funding source for which this project may qualify. (Kiritz, 1979: 67)

HANDOUT

EXAMPLE OF A FUTURE FUNDING SECTION OF A PROPOSAL

GOOD

Directions:

1. Read the selection.
2. Be prepared to discuss the strengths and weaknesses of the selection, and tell why it is considered a good example of a **Future Funding** section of a proposal.

SELECTION

Future Funding

This program has been designed as a demonstration model. The successful component parts will be packaged and made available to other sectors of the Primary Target Area and other communities with similar needs.

It is intended that this program will be continued and funded through Community Development Grants, Federal Urban Action Grants, HUD, Community Services Administration, local housing foundations, church and private assistance, and the United Community Chest.

The funds requested in this application are viewed as "seed money" for a project that will require additional funding if program effectiveness is demonstrated. There are three areas in which future funding support is being developed:

1. From presently involved groups and agencies:
    a. The University of Generosity has committed in-hospital staff time and space to this project, and has guaranteed this commitment for the next five years. This amounts to an in-kind contribution of approximately $25,000 during the grant period and somewhat over $25,000 for each of the successive four years (see letter of commitment).
    b. The local parents' group has pledged to raise a minimum of $10,000 annually towards the cost of this program. This group has been very successful in the past, and its support is seen not only as helpful in developing financial independence, but is also indicative of the high level of community support of this program (see attached support letter).
2. From the local United Way:
    a. The Benevolent United Fund has agreed to consider this project for special "non-member" grant funding.
    b. The United Fund has also agreed to assist the applicant to develop a sliding scale fee-for-service schedule which is planned to cover 20 percent of the budget for the second year, and 50 percent of the budget for the fifth year of the program.

3. Through cooperative relationships with other local agencies:

   a. The public health nursing services provided through the three local counties have agreed to work closely with the applicant throughout the first year of funding, and to assume certain responsibilities should this program demonstrate its effectiveness over the first 12 months (see attached letters). (Kiritz, 1979: 67)

COMPONENT 13: THE PROPOSAL BUDGET

The **Proposal Budget** may be defined as an operational statement of the program in monetary terms. The writer's task in developing this proposal component is to translate program activities into dollars. If the writer is unfamiliar with the language of the program developer and the fiscal officer, technical assistance is necessity to assure accurate translations comprehensible to both parties. Budgets that fail to conform to the regulations of both the submitting institution and receiving agency, or fail to identify accurately the costs of carrying our proposed activities, contribute to the rejection of many proposals and the failure of many projects.

Function

The budget serves both management and program functions.

As a statement of management policy:

1. it reflects institutional and program priorities in the ways requested funds are allocated to units and persons within the submitting institutions;
2. it defines responsibility for project decision making within the submitting institution and allocates power among institutions when several are involved in the project; and
3. it may demonstrate the submitting institution's commitment to the program.

As a programmatic statement:

1. it defines events scheduled to occur by translating the activities into dollars;
2. it sets program priorities by allocating dollars among and between program components and personnel; and
3. it establishes base lines for negotiations that will occur if the project is approved. If costs can be linked directly to specific activities, budget negotiations can become almost synonymous with program negotiations. (Warren, 1980: 220-21)

Characteristics

The budget statement attaches a price tag to goals and proposed activities. Consequently a detailed plan of project activities and the submitting institution's fiscal policies should serve as the information base for budget development.

Funding sources require varying degrees of detail in the budget component of the proposal. Most government funding agencies require a great deal of detail, and usually provide budget forms, formats, and instructions for their completion. Foundations and corporations are less structured , but the budget still should indicate that a lot of thought has gone into it.

The proposal budget is an estimate! A funding source will provide you with a degree of latitude in actually spending the money, as long as you do not exceed the funding level. Do not feel that the grant money must be spent to the penny as you plan the budget. Remember, most funding agencies allow you a means of adjusting the budget (in written requests) once the proposal has been funded.

Characteristics of a well-developed proposal budget include:

1. Every budget item must be related directly and demonstrably to activities described in the program narrative.

2. Items normally included should be divided into three broad categories:

    a. Direct costs--all those costs directly related to carrying out the activities proposed for a particular project (e.g., personnel, supplies, equipment, travel, communications, consultants, stipends).

    b. Indirect costs (also referred to as overhead)--those costs incurred by the submitting institution, in operating externally funded projects, that are not recoverable from a single project and that are recognized and allowed by the requesting agency.

    c. Cost sharing--the institution's share of total project cost (may take the form of "in-kind" in which services are redirected or "actual" when this must be allocated).

3. The identification of individual costs within the preceding categories must conform to guidelines of the submitting institution and those set by the funding agency for the specific proposal response.

4. Direct costs for identified salaries and wages should be assignable to specific personnel who, in turn, should be designated to carry out specific activities and/or realize specific objectives.

5. The manner in which specific costs (salary base or unit costs and time periods) have been calculated for each item should be identifiable by all readers.

6. The policies governing the calculation of the budget and its format under a given solicitation should only be set after identifying the guidelines set by the funding agency and the fiscal policies of the submitting institution.

The budget statement is a mechanism through which the submitting institution identifies the costs associated with the particular strategy it has selected to address a problem. The accepted budget imposes mutual obligations on the funding agency, the submitting institution, and project directors. As such, depending on the requirements of the funding agency, it constitutes a formal or informal contract. It should, therefore, be developed and negotiated with the care appropriate to the writing of any promissory note. (Warren, 1980: 221-22)

Common Flaws

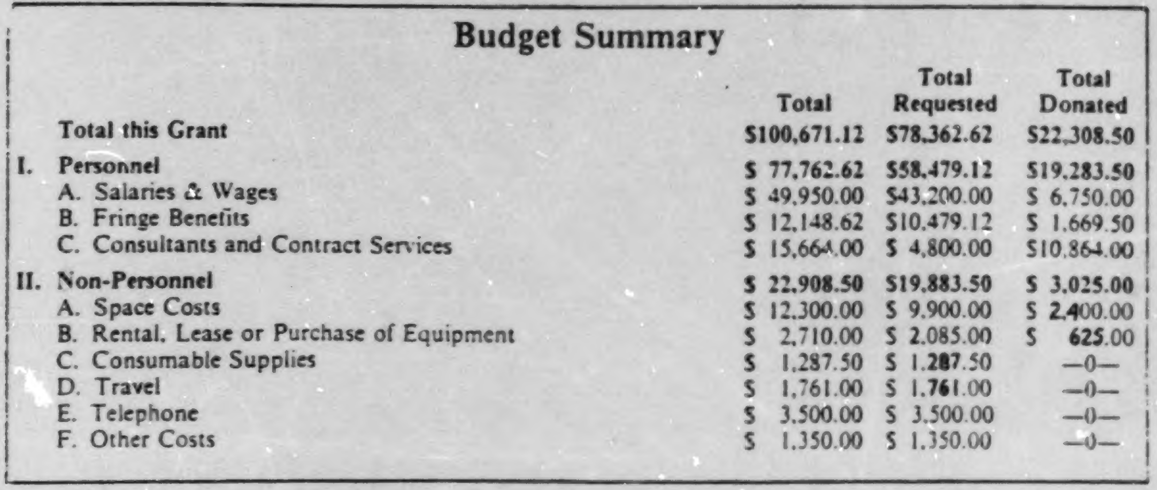
Since program staff, rather than fiscal officers, generally write at least the first draft of the budget, the developer is often subject to two reviews in the development and submittal process--that of fiscal offices of the submitting institution, and that of program or contract offices of the funding agency. Art both of these review points, budget flaws may jeopardize the securing of funding. The following flaws are identified frequently by both sources:

1. The budget fails to conform to fiscal policies of the submitting institution (e.g., rates for determining pay, fringe benefits, or indirect costs).
2. The budget fails to conform to established guidelines and the recommended format of the receiving agency.
3. The basis for calculating specific costs is either not identified or not clearly communicated.
4. Costs of individual items (personnel or other direct costs) cannot be associated with specified program activities.
5. Costs are not realistic, either in relation to appropriations planned by the funding office or to activities identified by the submitting institution.
6. Computational errors are present. (Warren, 1980: 228)

BUDGET FORMAT

There are several formats that can be used for preparing a proposal budget. The one we will be using, along with the explanation of the various components, is taken from Norton J. Kiritz. (Kiritz, 1979: 72-77) The discussion is based on figures that were current for 1978. Things have changed considerably in price since then. Keep this fact in mind when reading this discussion.

Regardless of the format you use, there are two basic components: 1) Personnel costs, and 2) Non-personnel costs. There is an optional third component called "Indirect Costs" which pertains to some, but not all, grant applications. There is also a **Budget Summary** which, like the Proposal Summary, is written after the budget is complete and is presented at the beginning of the budget. The Budget Summary will look like this:



Budget Summary

	Total	Total Requested	Total Donated
Total this Grant	**$100,671.12**	**$78,362.62**	**$22,308.50**
I. Personnel	**$ 77,762.62**	**$58,479.12**	**$19,283.50**
A. Salaries & Wages	$ 49,950.00	$43,200.00	$ 6,750.00
B. Fringe Benefits	$ 12,148.62	$10,479.12	$ 1,669.50
C. Consultants and Contract Services	$ 15,664.00	$ 4,800.00	$10,864.00
II. Non-Personnel	**$ 22,908.50**	**$19,883.50**	**$ 3,025.00**
A. Space Costs	$ 12,300.00	$ 9,900.00	$ 2,400.00
B. Rental, Lease or Purchase of Equipment	$ 2,710.00	$ 2,085.00	$ 625.00
C. Consumable Supplies	$ 1,287.50	$ 1,287.50	—0—
D. Travel	$ 1,761.00	$ 1,761.00	—0—
E. Telephone	$ 3,500.00	$ 3,500.00	—0—
F. Other Costs	$ 1,350.00	$ 1,350.00	—0—

Costs have been divided into two columns: requested and donated. The requested column represents those items that we are asking the funding source to pay for; the donated column represents those items which are either to be paid for from some other source of funds, to which are actually donated or contributed to the project or program. In the case of a federal grant proposal, these two columns represent the federal share and the non-federal share. Let's look at each of these budget components separately. To the funding source, this will be done in what is called the **Budget Detail**, where each section of the budget is broken down and where your budget calculations will appear. If the funding source provides forms, much of the following information will fit into the appropriate space on the form.

Budget Detail

	Requested	Donated
I. Personnel		
A. Salaries & Wages		
(1) Exec. Dir. @ $1,500/mo x 10% x 12 mos.		$ 1,800.00
(1) Proj. Dir. @ $1,200/mo x 100% x 12 mos.	$14,400.00	
(2) Counselors @ $900/mo x 100% x 11 mos.	$19,800.00	
(1) Counselor* @ $900/mo x 50% x 11 mos.		$ 4,950.00
(1) Secretary @ $750/mo x 100% x 12 mos.	$ 9,000.00	
	$43,200.00	$ 6,750.00

*This half-time counselor position is contributed to this program by another social service agency.

I. Personnel

A. Salary and Wages

First, enter the number of persons at the same salary and same job.

Second, enter the title of that position.

Third, enter the full monthly salary attached to that position regardless of whether or not it is full-time. Pro-rating salaries for part-time positions can become very confusing. Clarify this by entering the percentage time that this person will be working in the proposed program, and follow this with the number of months that this person will be employed over the course of the grant period.

Then, multiply out to obtain totals and enter these totals in one of two columns, depending upon whether the funds are being requested of this funding source or coming from elsewhere.

Indicate personnel contributed by other agencies with an asterisk (*) and note the source of these additional personnel.

It is advisable to have salary ranges for most, if not all, of the positions within your organization. If you do, then you may make an additional note to this section:

> All salaries within this budget item represent the middle step of the salary range for the position, except for those instances where a person is presently filling that position.

You would then attach a copy of your salary schedule to the budget. This procedure can keep you from getting locked into a very specific salary. This also depends on your personnel policies. Your policies may allow the employment of a new person at any step within the salary range for a position, depending upon the new employee's prior experience and salary. By using the middle step for budget purposes, you allow for the averaging out of the salaries of new employees. Some may come in at the first step, some at the top step. If the funding source advises another way of presenting salaries (e.g., at the top step), then follow instructions.

When jobs are created that do not presently exist within your organization, conduct a survey to determine the appropriate salaries. Identify local agencies similar in size and mission, and try to identify positions in those agencies similar to the new jobs in your agency. Salaries for these positions should be your guide. Save this survey information in the event that the funding source asks how you determined the salary of any new position.

In the salaries and wages section, enter only those positions where salaries will actually be paid, either from the proposed grant, from your regular budget, or by some other source of funding. Volunteers who are not paid will be entered in the Consultants and Contract Services item.

B. Fringe Benefits

	Requested	Donated
B. Fringe Benefits		
SUI — 3.2% x $24,000 (California rates)	$ 768.00	
Workers' Comp. Policy	$ 350.00	
FICA — 6.13% x $43,200	$ 2,648.16	
Health Ins.—2 single employees @ $35/mo; 2 employees with dependents @ $98.00/mo; x 12 mos. (employer pays 100%)	$ 3,192.00	
Extended Disability Ins.—4 employees @ $4.02/mo x 12	$ 192.96	
Vacation & Sick Leave — 16 wks @ avg. salary of $208.00/wk.	$ 3,328.00	
Fringe benefits for donated executive director, based on agency's total fringe benefit percentage (24 percent) of salary ($1,800)		$ 432.00
Fringe benefits for donated counselor, based on donating agency's total fringe benefit percentage (25 percent) of salary ($4,950)		$ 1,237.50
	$10,479.12	$ 1,669.50

Fringe benefits require a separate category in your budget and should not be combined with staff salaries. While some funding sources will accept a fringe benefit item as a percentage of payroll (e.g., 22 percent of salaries and wages), it is desirable, unless asked to do otherwise, to spell out all of the benefits to be covered by the grant in detail. Donated fringe benefits can be entered as payroll percentages.

There are three kinds of fringe benefits that apply:

1. Mandated benefits--those required by the state in which you are located. Examples of required benefits are Workers' Compensation Insurance and State Unemployment Insurance (SUI).

2. Social Security (FICA)--from which public and private nonprofit agencies are exempt but in which most agencies voluntarily participate.

3. Voluntary benefits--which vary from organization to organization, and which include medical, dental, disability and life insurance, private retirement programs, reimbursement for work-related educational expenses, reimbursement for parking, sabbatical leave, etc.

All organizations have some provisions for vacation and sick leave but sometimes neglect to write these into their budgets. Smaller organizations often omit this item from the fringe benefit description; and it grant-supported staff do not take their vacations during the period of a grant, they may wind up, when the grant has ended, with a financial obligation for unused vacation time. Then they must find some source of funds with which to compensate staff for this earned vacation. Avoid this situation by including a figure for vacation and sick leave, if allowed for by the funding source.

Perform your actual calculations within the budget detail. For example, in California, the rate for State Unemployment Insurance during 1978 ranged from 0.4 percent to 4.9 percent (depending on the history of unemployment claims of the applicant) of the first $6,000 of each person's salary. The 1979 Social Security rate was 6.13 percent of the first $22,900 of any salary.

C. Consultant and Contract Services

	Requested	Donated
C. Consultant and Contract Services		
Consulting Psychologist (Dr. Goodjoe, N.Y. Psychological Assn.) 4 hrs/wk x $40 x 52 wks.		$ 8,320.00
Evaluation Consultant (Dr. Fastbuck, University Evaluation Center) 10 hrs/mo x $25 hr x 12 mos.	$ 3,000.00	
Bookkeeping Services by Fold, Spindle & Mutilate, Inc. $150/mo x 12 mos.	$ 1,800.00	
(4) Volunteer tutors @ 5 hrs/wk each x 48 wks x $2.65 hr.		$ 2,544.00
	$ 4,800.00	$10,864.00

Paid and unpaid (volunteer) consultants are listed in this section of your budget. Rather than employing a bookkeeper, you may utilize a bookkeeping service at a monthly fee. That goes into this budget category. So do audit services, consultant evaluation services, and other paid consultant time. If services are volunteered, that goes in here as well. Volunteer time may be allowed by some government funding sources when they require that some portion of the grant be matching funds, or in-kind contributions developed by the applicant. This raises the question of how to place a value on the time contributed by a volunteer.

Federal agencies produce varied, even whimsical schedules of valuation of volunteer time. These allow for such valuations as (1978 scales): physicians--$45.00/hr.; attorneys--$40.00/hr.; teachers--$5.00/hr.; social workers--$1.98/hr. Be careful of any of these schedules. They are often a most unrealistic mixture of economic and social values and are not to be trusted. It is better to get written statements from the volunteers attesting to their normal salaries or consultant fees, and testifying to their commitment to volunteer like services to your program. Remember, these must be like services. For an attorney to be valued at $40.00/hr. in your program, he/she must be providing legal services to you--not driving children to football games every Saturday. These letters not only establish the value of the volunteered time,. but also are good credibility letters from persons sufficiently impressed with you to give of themselves.

Volunteers who have not the requisite credentials to qualify for a specific role, and who have not been paid a salary in that role, must be rated at the current minimum wage, no matter how capably they perform.

II. Non-personnel

	Requested	Donated
II. Non-Personnel		
A. Space Costs		
Office rent — 1,200 sq. ft. @ $6.00/ft/yr.	$ 7,200.00	
Tutoring space — contributed by local private school: one classroom 20 hrs/wk x $50/wk x 48 wks.		$ 2,400.00
Office janitorial @ $100/mo x 12 mos.	$ 1,200.00	
Office utilities @ $125/mo x 12 mos.	$ 1,500.00	
	$ 9,900.00	$ 2,400.00

A. Space Costs

The first non-personnel item is space costs. That includes office rent, space used outside your office, utilities, maintenance, janitorial services, and essential renovations. As with all other budget items, you must be aware of comparability of costs. If you propose to pay much more for rent than the prevailing rent in your community, be prepared to explain your rationale to the funding source.

B. Rental, Lease or Purchase of Equipment	Requested	Donated
(1) Secretarial Desk @ $150.00	$ 150.00	
(1) Secretarial Chair @ $65.00	$ 65.00	
(2) Desks @ $100.00	$ 200.00	
(2) Chairs @ $65.00	$ 130.00	
(2) Desks donated by applicant @ rental value of $5/ea/mo x 12 mos.		$ 120.00
(8) Chairs donated @ rental value of $5/ea/mo x 12 mos.		$ 480.00
(4) File cabinets @ $55	$ 220.00	
(2) Spendthrift typewriters @ $30/mo leased x 12 mos.	$ 720.00	
(1) Framed scenic wallposter of Big Sur — donated		$ 25.00
(1) Dynamite Copying machine leased @ $50.00/mo x 12 mos.	$ 600.00	
	$ 2.085.00	$ 625.00

B. Rental, Lease, or Purchase of Equipment

The second non-personnel item is for rental, lease, or purchase of equipment. This will include typewriters, tables, chairs, desks, file cabinets, copying equipment, etc. Unused equipment your agency now owns can be applied to this project, preferably by attaching a rental equivalent value to it. For example, rather than buying a new desk for a new person, use one you already have but are not now using. Find out what it would cost to rent the desk for a year and put that value into your budget as a contribution from your agency. If you donate the desk at its full value, and if this is a federally funded program, then the desk actually becomes the property of the federal government.

	Requested	Donated
C. Consumable Supplies		
Desk top supplies for 6.5 staff @ $125.00/ea/yr.	$ 812.50	
100 reams copypaper @ $2.75/ea and 5 toner refills @ $40/ea.	$ 475.00	
	$ 1,287.50	—0—

C. Consumable Supplies

There are three separate kinds of consumables that might appear in your budget:

1. Desk-top supplies. These include the normal pens, pencils, erasers, stationery, paper clips, etc. A reasonable cost for these items is $100 to $125 per year per person in your office. Experience should indicate whether this will be sufficient.

2. Copying supplies. Since copying has become universal, and since paper and toner are such expensive items, these should be separated from the above unless you are advised otherwise.

3. Program-related consumables. These might be arts and crafts supplies provided to children in a child care program, etc.

	Requested	Donated
D. Travel		
Local mileage for Project Director: 100 mi/mo @ 17c/mi x 12 mos.	$ 204.00	
Local mileage for (2) Counselors: 200 mi/mo @ 17c/mi x 12 mos.	$ 816.00	
Travel expenses for Project Director to attend Grantsmanship Center Training Program in Los Angeles, June 11-15, 19— ($325 tuition plus $218.00 round-trip air plus 6 days per diem @ $33/day		$ 741.00
	$ 1,761.00	—0—

D. Travel

Be specific. For local mileage, project the number of miles you expect each person to drive on the job each month. Multiply this by the accepted rate in your geographic area and multiply again by the number of months in the grant period.

For out-of-town travel, you must anticipate the travel that will be required during the grant. This may be easy for program-related travel (e.g., visiting remote program sites), but is more difficult in planning training and conference attendance. These items in your budget should be supported by a statement in your program narrative describing the need for and benefits of whatever travel is budgeted. You might include fees for training as well as per diem and air travel expenses in this category.

	Requested	Donated
E. Telephone		
Installation @ $260.00	$ 260.00	
(6) Instruments @ $45.00/ea/mo x 12 mos.	$ 3,240.00	
	$ 3,500.00	—0—

E. Telephone

If you will be installing new telephones, get an estimate from the phone company (or other vendor) of the cost of installation. Then estimate the average monthly cost per instrument times the number of instruments times the number of months of the project.

	Requested	Donated
F. Other Costs		
Postage	$ 600.00	
Insurance (Fire, Theft and Liability)	$ 750.00	
	$ 1,350.00	—0—

F. Other Costs

This is the category for items that do not fit naturally into another category. Examples of items that might be included here are:

1. Postage,
2. Fire, theft, and liability insurance,
3. Dues in professional associations paid for by the applicant,
4. Subscriptions to periodicals,
5. Publications costs.

Indirect Costs

Organizations that operate several different funded projects face a particular problem. The cost to the organization of housing a project may drain the resources of the institution. Indirect costs are an attempt to compensate the organization for these costs and to provide a basis for the sharing of the costs of running a large institution among the various programs and projects within the institution. The Office of Education states:

> Indirect costs are those costs of an institution which are not readily identifiable with a particular project or activity but nevertheless are necessary to the general operation of the institution and the conduct of its activities. The costs of operating and maintaining buildings, grounds, and equipment, depreciation, general and departmental administrative salaries and expenses, and library costs are types of expenses usually considered as indirect costs.
>
> In theory, all such costs might be charged directly; practical difficulties, however, preclude such an approach. Therefore, they are usually grouped intc common pool(s) and distributed to thoses institutional activities benefited through a cost allocation pro-

> cess. The end product of this allocation process is an indirect cost rate(s) which is then applied to individual grant and contract awards to determine the amount of indirect costs chargeable to the award.

Indirect costs may or may not be provided by any particular funding source. Generally, those sources which support higher educational institutions do provide them. Some funding sources place a ceiling upon indirect costs allowed in a given grant situation. Be sure to find out what percentage, if any, the funding source will allow for indirect costs, and determine which portion of your budget the percentage applies to. Sometimes indirect costs are a percentage of the total direct costs, or of the personnel costs, or of the salary and wages item alone.

For federal grants, most institutions have an annual percentage rate which they have negotiated with the federal government as their indirect cost percentage rate for that year. It usually is a rate that is to be multiplied by the salaries to arrive at the indirect cost. For Texas Education Agency grants the indirect cost for years has been the rate of 8 percent of the total direct cost of the proposal.

The proposal budget used by Kiritz in this example does not have an indirect cost figure. We can assume, then, that the funding agency to which it is being submitted does not allow indirect costs as an allowable expense of the proposal.

HANDOUTS

Example of a Complete Proposal Budget

Checklist for a Proposal Budget

HANDOUT

EXAMPLE OF A COMPLETE PROPOSAL BUDGET

Budget Summary

	Total	Total Requested	Total Donated
Total This Grant	**$100,671.12**	**$78,362.62**	**$22,308.50**
I. Personnel	**$ 77,762.62**	**$58,479.12**	**$19,283.50**
A. Salaries and Wages	$ 49,950.00	$43,200.00	$ 6,750.00
B. Fringe Benefits	$ 12,148.62	$10,479.12	$ 1,669.50
C. Consultant and Contract Services	$ 15,664.00	$ 4,800.00	$10,864.00
II. Non-Personnel	**$ 22,908.50**	**$19,833.50**	**$ 3,025.00**
A. Space Costs	$ 12,300.00	$ 9,900.00	$ 2,400.00
B. Rental, Lease or Purchase of Equipment	$ 2,710.00	$ 2,085.00	$ 625.00
C. Consumable Supplies	$ 1,287.50	$ 1,287.50	—0—
D. Travel	$ 1,761.00	$ 1,761.00	—0—
E. Telephone	$ 3,500.00	$ 3,500.00	—0—
F. Other Costs	$ 1,350.00	$ 1,350.00	—0—

(Kiritz, 1979: 76-79)

Budget Detail

	Total	Total Requested	Total Donated
Total Program	$100,671.12	$78,362.62	$22,308.50
I. Personnel	$ 77,762.62	$58,479.12	$19,283.50
A. Salaries & Wages	$ 49,950.00	$43,200.00	$ 6,750.00

	Requested	Donated
(1) Exec. Dir. @ $1,500/mo. x 10% x 12 mos.		$1,800.00
(1) Proj. Dir. @ $1,200/mo. x 100% x 12 mos.	$14,400.00	
(2) Counselors @ $900/mo. x 100% x 11 mos.	$19,800.00	
(1) Counselor* @ $900/mo. x 50% x 11 mos.		$4,950.00
(1) Secretary @ $750/mo. x 100% x 12 mos.	$ 9,000.00	
	$43,200.00	$6,750.00

*This half-time counselor position is contributed to this program by another social service agency.

	Total	Total Requested	Total Donated
B. Fringe Benefits	$ 12,148.62	$10,479.12	$ 1,669.50

	Requested	Donated
SUI—3.2% x $24,000 (California rates)	$ 768.00	
Workers' Comp. Policy	$ 350.00	
FICA—6.13% x $43,200	$ 2,648.16	
Health Ins.—2 single employees @ $35/mo.; 2 employees with dependents @ $98.00/mo.; x 12 mos. (employer pays 100%);	$ 3,192.00	
Extended Disability Ins.—4 employees @ $4.02/mo. x 12	$ 192.96	
Vacation & Sick Leave—16 wks. @ avg. salary of $208.00/wk.	$ 3,328.00	
Fringe benefits for donated executive director based on agency's total fringe benefit percentage (24 percent) of salary ($1,800)		$ 432.00
Fringe benefits for donated counselor, based on donating agency's total fringe benefit percentage (25 percent) of salary ($4,950)		$ 1,237.50
	$10,479.12	$ 1,669.50

C. Consultant & Contract Services			**$ 15,644.00**	**$ 4,800.00**	**$10,864.00**
Consulting Psychologist (Dr. Goodjoe, N.Y. Psychological Assn.) 4 hrs./wk. x $40 x 52 wks.		$ 8,320.00			
Evaluation Consultant (Dr. Fastbuck, University Evaluation Center) 10 hrs./mo. x $25/hr. x 12 mos.	$ 3,000.00				
Bookkeeping Services by Foid, Spindle & Mutilate, Inc. $150/mo. x 12 mos.	$ 1,800.00				
(4) Volunteer tutors @ 5 hrs./wk. ea. x 48 wks. x $2.65/hr.		$ 2,544.00			
	$ 4,800.00	$10,864.00			
II. Non-Personnel			**$ 22,908.50**	**$19,833.50**	**$ 3,025.00**
A. Space Costs			**$ 12,300.00**	**$ 9,900.00**	**$ 2,400.00**
Office rent—1,200 sq. ft. @ $6.00/ft./yr.	$ 7,200.00				
Tutoring space—contributed by local private school: 1 classroom 20 hrs./wk. x $50/wk. x 48 wks.		$ 2,400.00			
Office janitorial @ $100/mo x 12 mos.	$ 1,200.00				
Office utilities @ $125/mo. x 12 mos.	$ 1,500.00				
	$ 9,900.00	$ 2,400.00			
B. Rental, Lease or Purchase of Equipment			**$ 2,710.00**	**$ 2,085.00**	**$ 625.00**
(1) Secretarial Desk @ $150.00	$ 150.00				
(1) Secretarial Chair @ $65.00	$ 65.00				
(2) Desks @ $100.00	$ 200.00				
(2) Chairs @ $65.00	$ 130.00				
(2) Desks donated by applicant @ rental value of $5.00/ea./mo. x 12 mos.		$ 120.00			
(8) Chairs donated @ rental value of $5.00/ea./mo. x 12 mos.		$ 480.00			
(4) File cabinets @ $55.	$ 220.00				
(2) Spendthrift typewriters @ $30/mo. leased x 12 mos.	$ 720.00				
(1) Framed scenic wallposter of Big Sur — donated		$ 25.00			
(1) Dynamite Copying machine leased @ $50.00/mo. x 12 mos.	$ 600.00				
	$ 2,085.00	$ 625.00			
C. Consumable Supplies			$ 1,287.50	$ 1,287.50	—0—
Desk top supplies for 6.5 staff @ $125.00/ea./yr.	$ 812.50				
100 reams copypaper @ $2.75/ea. and 5 toner refills @ $40.00 ea.	$ 475.00				
	$ 1,287.50	—0—			

D. Travel			$ 1,761.00	$ 1,761.00	—0—
Local mileage for Project Director 100 mi./mo. @ 17¢/mi. x 12 mos.	$ 204.00				
Local mileage for (2) Counselors: 200 mi./mo. @ 17¢/mi. x 12 mos.	$ 816.00				
Travel expenses for Project Director to attend Grantsmanship Center Training Program in Los Angeles, June 11-15, 19—($325 tuition plus 6 days per diem @ $33/day	$ 741.00				
	$ 1,761.00	—0—			
E. Telephone			$ 3,500.00	$ 3,500.00	—0—
Installation @ $260.00	$ 260.00				
(6) Instruments @ $45.00/ea./mo. x 12 mos.	$ 3,240.00				
	$ 3,500.00	—0—			
F. Other Costs			$ 1,350.00	$ 1,350.00	—0—
Postage	$ 600.00				
Insurance (Fire, Theft and Liability)	$ 750.00				
	$ 1,350.00	—0—			

HANDOUT

CHECKLIST FOR A PROPOSAL BUDGET

The following checklist can be used in evaluating a **Proposal Budget.**

1. Clearly delineates costs to be met by the funding source and those provided by other parties.
2. Tells the same story as the proposal narrative.
3. Is detailed in all aspects.
4. Projects costs that will be incurred at the time of the program, if different from the time of proposal writing.
5. Includes all items asked of the funding source.
6. Includes all items paid for by other sources.
7. Includes all volunteers.
8. Details fringe benefits, separate from salaries.
9. Includes all consultants.
10. Separately details all non-personnel costs.
11. Includes indirect costs where appropriate.
12. Is sufficient to perform the tasks described in the narrative.

MODULE VII

SAMPLE PROPOSAL AND CRITIQUE

MODULE VII

SAMPLE PROPOSAL AND CRITIQUE

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MODULE VII

SAMPLE PROPOSAL AND CRITIQUE

GOAL: The goal of this module is to show the student a bone fide proposal and a professional critique of its strengths and weaknesses.

OBJECTIVES: At the conclusion of this module, the student should be able to:

1. identify a good proposal.
2. discuss the strengths and weaknesses of each component.
3. critique the proposal.

SAMPLE PROPOSAL AND CRITIQUE

DIRECTIONS:

1. As a summary from previous modules of the proposal document and its various components, cover the critique side of each page and read the grant proposal. As you read it, keep the following questions in mind:

    a. What component is this?

    b. What are the strengths of this component?

    c. What are the weaknesses of this component?

    d. What has been omitted from this component?

    e. How can this component be improved upon?

2. Then uncover the right-hand side of each page. Read the critique and compare your critique with it.

3. Discuss the proposal and critique with the class.

SAMPLE PROPOSAL AND CRITIQUE

Proposal

TITLE PAGE

A Proposal to Establish
Community-Based Multiservice
Center

June 1977

Submitted by:
The Plainview
Service Organization
10 Plainview Avenue
Plainview, New York 11000
Telephone (516)516-5166

Critique

The format for this title page is good. It is descriptive, providing all the essential information. It does not show the funding source to whom it is submitted (optional). This could be done by placing an additional phrase after "submitted by, and so on," which would read:

Submitted to:
The ABC Foundation
10 Avenue L
New York, New York 10030

The title of the proposal, however, is misleading, since the larger part of the proposal that follows is addressed to establishing services that are alternatives to existing programs. Thus, the title would be more descriptive if the word "Alternative" were added before the words "Multiservice."

(Lefferts, 1978: 122-146)

INTRODUCTION: PURPOSE AND OBJECTIVES

This is a proposal from the Plainview Service Organization (PSO) to establish a community-based multiservice center offering a variety of alternative mental health services to individuals, families, and the community in the town of Plainview, located in Plainview County, N.Y.

The PSO is a voluntary nonprofit agency which has served Plainview County, whose current population is 1 million, since 1945. Its total operating budget of $1 million comes from the United Fund and federal and state grants. Originally established as a family counseling and home nursing agency, the PSO, for the last ten years, has changed its focus to concentrate on developing and demonstrating a variety of services aimed at meeting newly identified specialized needs of minorities, aged, and children.[7] This proposal is in keeping with this focus in that it addresses the emerging needs for preventive and advocacy programs in the field of mental health and particularly for released mental patients.

Through this proposed program a number of urgent needs in Plainview are addressed including, 1. the failure

A good opening sentence, which covers the name of the applicant, the general contents of the program, and its location.

The proposal attempts to establish PSO's credentials, without going into detail, in the body of the proposal. The detail is presented in a separate capability statement. The reader's attention is directed to the statement by footnote 7. Some proposal writers prefer a longer statement about the sponsoring organization at this point in the proposal.

The focus of the proposal on mental health is established early in the introduction. At this point the emphasis on prevention and on released mental patients is established, still very early in the proposal. It is done in a way to entice the reader to go further.

It is appropriate in the Introduction to briefly describe the nature of the problem that is being addressed, as is done here. However, in this proposal the problem is defined largely in terms of the limitations of existing agencies and theory or ideologies (that is, the definition of mental illness and its causes). The

[7] The Capability Statement attached to this proposal details the long and successful experience of the PSO and describes the current resources of the organization.

of existing agencies, particularly the Welfare Department and mental health clinics, to provide sorely needed prevention-oriented services, 2. the lack of direction of both state and county agencies in the area of mental health in Plainview, 3. the inability of these agencies to serve an advocacy role for minorities and the poor, 4. the frequently inaccessible and fragmenting nature of these programs, and 5. the absence of recognizable communities within Plainview to actually serve the social needs of residents.

These problems are further aggravated because of a lack of clarity over the definition of mental health and the causes of mental illness. The social implication of mental illness is the fact that individuals who are affected emotionally and psychologically by economic and social situations have been undermined or largely ignored by existing mental health programs.

We would like to state, as our overriding concern and operating principle, that problems in living, presently identified by professionals and the public as psychological, and defined as character defects, many times stem from lack of educational, economic, and social resources, as well as from an underlying inequality between races and sexes. It is also evident to us that if communities provided supportive, comprehensive services aimed at prevention, educa-

proposal would be strengthened with more specificity in the Introduction, such as the gross number of persons served by mental-health agencies, the number released from hospitals, the number requiring prevention, a specific example of "lack of direction" and other needs. Although all this will be dealt with in detail in the Needs section, some concrete needs information can be useful in the Introduction to guard against readers getting turned off by what they may consider vague ideas.

Phrases such as "economic and social resources" can often be made stronger and more convincing by giving examples. In this case, "for example, housing, transportation, legal aid."

The definition of the *purpose* of this proposal is weak in that 1. it does not go on to say *what* the broad goal is that would be accomplished by tion, and counseling in areas such as health, law, jobs, and housing, they might be able to curb the spiraling number of people who, as a last resort, are committed to or in desperation commit themselves to mental institutions, because their basic problems in living were not dealt with in their families or in the communities where they live.

There is a pressing need for alternative approaches to community mental health care, which would have as their primary focus education and prevention within the community. The purpose of a multiservice community center would be to offer a well-coordinated, central community base that would respond to a wide, yet specific range of community needs. In addition, it is hoped that such a center would bring together people with common needs and problems, and with the help of staff and coordinated resources, help them to find collective solutions and viable alternatives to their present solutions.

The major objectives of this program are:

''responding to community needs,'' 2. it does not say directly whether ''education and prevention'' referred to in the prior sentence will be offered, and 3. it does not indicate whether areas such as ''health, law, jobs, and housing,'' referred to in the previous paragraph, would be covered. The objectives do help to clarify points 1. and 2. There is also a problem in using ''education, prevention, and counseling'' as if they were separate services, since education can contribute to prevention, as can counseling. Further, there is a need to be specific about what is being prevented. Is it admission or readmission to state hospitals? Is mental disorder being prevented? Some of these questions are clarified later in the proposal, but it is a mistake not to be clear as early as possible. For example, ''prevention of mental illness and hospitalization'' is mentioned later in objective #6. If this is the main thrust of the proposal, it should be mentioned earlier and added to the statement of purpose. Thus, the purpose would read '' . . . range of community needs *in order* to prevent mental illness and hospitalization.''

If this is the overall purpose or goal, the *objectives* should state the strategy for achieving this goal in terms of what would be done *and* which results would be achieved. As expressed in this proposal, the objectives do indicate what would be done. However, they do not indicate what

1. To help people achieve a larger measure of self-determination and to create options by providing individual and group counseling regarding legal problems, family problems, family planning, and day care, health and nutrition, education, jobs, and housing, 2. To provide a central and accessible service for the community, 3. To involve community residents in the planning and implementation of services, thereby assuring a greater degree of community involvement and control, 4. To serve as an information and referral center, and to coordinate data on existing social service agencies in the area, 5. To establish communication with and promote sharing of resources by various groups within the community such as civic and church groups, and 6. To evaluate this program as a possible model for effectiveness in the field of community mental health for the prevention of mental illness and hospitalization.

would be achieved. The objectives would be improved by adding to each one some indication of which results would be expected. For example, objective #1 might have added to it, "in order to *reduce* the extent to which these problems negatively affect people's ability to function in the family and community." Or, the following could be added, "in order to *increase* people's ability to cope with these problems of daily living." Similar phrases should be added to each objective, thereby making their connection to the prevention of mental illness and hospitalization clearer and more explicit. Doing this also presents the objectives in terms that are measurable and therefore contributes to the ability to design an evaluation of this program.

For each objective, one should ask and answer the question "what will be accomplished and will this contribute to achieving the overall purpose or goal?"

The inclusion of an evaluation objective such as #6 dictates the necessity to have a later section of the proposal on evaluation.

NEED AND RATIONALE

It was stated in the previous section of this proposal that mental health services in Plainview are failing to

It helps to convey the coherence and unity of the proposal to show the linkage of one section to another as is meet the public's needs. We would like to examine resources for this, and to present our rationale for what we believe is a viable alternative to present mental health care.

Need

It is ironic that a county which houses over one-third (approximately 19,000) of the state's mental patients is one of the most backward in the nation in terms of offering innovative and preventive mental health services. At present count, Plainview has only four county-run mental health clinics, and less than a dozen private-contract (contracted by the county) agencies to service a population of 1 million in an area of over 500 square miles. There is only one crisis-telephone hotline, and no halfway houses in the county.

Although there is no formal data available on the effectiveness of services or treatment offered in these mental health clinics, it is obvious to the participant or observer that they are grossly understaffed, that waiting lists are long, that they cater primarily to white clients with incomes well above the poverty level, and that they are staffed with white professionals (as well as a large number of foreign-born psychiatrists who have difficulty communicating with clients because of a basic inability to speak coherent English).

It is also apparent that these clinics are still relying on outdated and—

done here in the first sentence of the Need section.

This statement would be strengthened by indicating the number served by the "four county-run clinics" and relating this number to an overall indicator of need. This would help convince the reader of the inadequacy of present services.

The word "data" is always plural; thus, it is used with the verb "are" not the verb "is."

This criticism would be more convincing if the writer had taken the time to get some figures on number of staff and number and characteristics of clients from available agency reports. Using such figures also helps establish the credibility of the proposal sponsors.

Again, some form of documentation would strengthen the argument particularly for low-income and minority people—irrelevant, modes of intervention and treatment. They are staffed with traditionally trained psychiatrists, psychologists, and social workers, whose practice is limited generally to individual, family, and group insight therapy. Piecemeal attempts are made to assist people with problems other than psychiatric, i.e., job, school, financial, and legal problems, to name a few. There is little coordination with other service agencies such as welfare, legal aid, or public-health clinics. The basic orientation is toward remedial crisis, rather than preventive programs designed to alleviate the cause preceding and underlying the crisis.

It has been our experience that people apply to these clinics in desperation and as a last resort, when problems have snowballed and assumed crisis proportions. In line with this, there is little if any outreach to the surrounding community or catchment area that the clinic supposedly serves.

Why such glaring inadequacies in the service system? We see one reason having to do with the conflict of interest between state and county over control and financing of mental health services. Another reason is that the helping professions' operating principle is based on the medical model,[8] in which people's problems

in this paragraph. Documentation is needed to make it more persuasive and encourage the reader to have confidence in its validity.

This is a good example of internal consistency; the proposal links up the need with the purpose (that is, prevention).

It is important always to define specialized terminology such as "medical model," as is done in footnote 8.

[8] The medical model views mental disturbance as disease oriented, and rooted in individual pathology.

are seen as purely psychological in origin and in manifestation. The psychiatric profession has always been resistant to seeing mental illness in any other terms than psychological. The sad fact is that social services, and particularly mental health services, are oriented to keeping the profession constant and stable rather than to meet the needs of the people being served.

In line with our observations of the inadequacies of services, we think the following summaries of research findings amply demonstrate the need for a qualitatively different approach in the design and delivery of mental health services:

1. The roots of mental illness are in the social environment, not in the individual (Hollingshead and Redlich, Srole, Langner and Michael, Peck, Kaplan and Roman).

2. The lower the socioeconomic class, the higher the rate of mental illness (Hollingshead, report of Joint Commission of Mental Health).

3. Poverty and racism are in large part responsible for major mental health problems (Joint Commission on Mental Health).

4. Poor people are much more reluctant to seek help from psychiatric clinics (Avnet, Hollingshead).

5. Mental health clinic staff tend to treat their own kind (white, middle class) (Adams and McDonald, Broverman).

6. Mental hospitalization greatly increases during economic downturns

To use global generalities, as done here, regarding psychiatric and mental-health services can discredit the proposal. Better wording might be "many members of the psychiatric profession have been resistant . . ."

This is a good demonstration of building the proposal's credibility, since it shows that the writers know the mental-health field. However, footnotes or a bibliography should accompany the text, giving the full references.

Notice also that the writers in presenting this material have gotten away from the global black-or-white generalities that characterize the earlier part of this section of the proposal.

and decreases during upturns (Brenner).

What these research findings indicate is not a justification for expansion of the existing service system, but an entire restructuring of it. Since mental health is directly related to one's educational, economic, and social situation, we must assume a multidimensional approach to help remedy the multitude of related social factors that cause people to become "mentally ill." The one-dimensional, clinically oriented approach that views people as enclosed psychiatric entities is not a sufficient answer.

Rationale

In proposing a multiservice community center, we aim to provide a form of service that is primarily dictated by the particular conditions prevailing in the community. Any form of intervention undertaken must consider these conditions (and their effects on the individual) before effective service can be provided. What is needed is a basic orientation to social action and, ultimately, change, deemphasizing traditional clinical goals of adjustment to what is.

Three measures that we view as necessary vehicles for change are prevention, advocacy, and education. In order to realize our goals we will

1. need professionals and community people alike who are willing to act as advocates for clients first, before the needs of any particular institution or

Whenever research or other work is cited, it is good proposal writing to indicate the implications and relevance of these references to the program being proposed. This is skillfully handled in this paragraph.

The Need section is well done but would be more convincing with additional concrete documentation of the nature and extent of the problem.

In this sample proposal the Rationale is incorporated with the statement of Need. It could also be a separate section, or the first part of the Program section. Regardless of format, the content of the rationale should set the stage for the program description and should also serve to justify the program activities that are proposed.

agency. We will seek out and attempt to work closely with other agencies dedicated to advocacy, such as People for Adequate Service and the Local Action Committee. 2. We need to work toward prevention of overwhelming stress situations that all too frequently result in mental hospitalization. To do this, we need to provide encouragement and direct assistance in formulating specific needs, stating complaints, and asserting basic rights. 3. We need to educate people regarding their basic rights: to receive adequate public assistance, their legal options and rights, decent housing, free or low-cost quality care for children, medical care, consumer rights. 4. We need to provide a focal point within the community for residents to work together on, and receive assistance with, their basic problems in living.

We chose the community of Plainview for our pilot project because it presents the greatest need in terms of relevant social services. In comparison with the rest of the county, it has one of the highest unemployment rates and number of people receiving public assistance; one of the lowest in terms of median income and educational attainment. In addition, there is evidence of a lack of decent and sufficient housing as well as wide-scale housing discrimination. Although conclusive figures are not available, it is estimated that admission rates to state hospitals

When reference to cooperating agencies is made, there should be some description of them and supporting letters from these agencies.

Notice that the rationale is stressing *advocacy*. From the standpoint of internal consistency, the proposal writers should have highlighted the advocacy approach in the Introduction and Need sections. The writers need to go back and consider revising the Introduction and the statements of purpose and objectives to be sure that they are consistent with the advocacy approach that is developed in this section.

The writers have introduced needs material as part of the rationale. This may be appropriate if the detailed statements documenting the high unemployment, public assistance, and other rates referred to are already presented in the Need section. In this proposal they were not included. The writers need to go back and add this material to the Need section.

are significantly higher from this area.

We recognize that an attempt to change the present service system, and to reorder priorities of mental health care, will not happen over night. One community center will certainly not cure the ills of an entire system. We are well aware of the fact that unless the poor have some gain in their economic situation, self-sufficiency and determination will not be attained; of fundamental importance is basic income support for poor people.

Yet we must, at some point, begin to address people's priorities. Evidence strongly supports organizing and offering alternatives, at the community level. With a maximum amount of planning and participation by residents, a sizable contribution can be made to the mental health and well-being of the community as a whole.

PROGRAM DESIGN

To accomplish the objectives set forth in this proposal, the following coordination and program design will be implemented.

Program Development and Coordination

The first step in the coordination of the Multiservice Community

This is an example of how to recognize the limitations of the proposal in a way that contributes to the proposal's credibility.

The limitations are not just left standing. The writers attempt to show that in spite of the limitations the proposed program is a valuable undertaking, which will result in benefits to the community. They could have gone on to explain how, through the evaluation, the program would also contribute to developing new approaches that can be adopted in other places.

The writers again show the linkage between the objectives and the specific program activities.

Instead of stressing the area of "coordination," it would be more to

Center will be the formation of a *Community Advisory Committee*. Membership will include the PSO's board of directors, leaders of civic, church, and community groups, and consumer representatives drawn from the community at large. The committee will be responsible initially for: 1. location of a suitable site for the Center; 2. promotion and publicity of the program by way of intensive mass-media publicity, and outreach to community residents and organizations; 3. establishment of program policies; 4. election of a board of directors; and 5. recommendations for hiring of staff.

Training and Recruitment of Staff

Staff will be recruited on the basis of experience, knowledge of, and familiarity with, the basic objectives of the center program. Staff will be recruited, to the extent possible, from the Plainview area through newspaper advertising, notices in prominent locations throughout the area, and recommendations from the advisory committee. Final selection of staff will be determined by the board of directors of PSO.

An initial training program will be instituted for new staff, and in addition, an ongoing training program will be provided for Center staff and interested community residents. The training will be directed at develop-

the point to talk about planning and development of the "Center." It makes a proposal much clearer to list each specific program activity with separate headings, as the writers have done in this entire section. However, in doing so it is important that the headings be clear. Further, the headings in the program section should be as active as possible, so that they denote specific tasks to be done. The initial part of this section of the proposal could have been organized more effectively if there were one general heading such as "1. Program Development" and then subheadings such as:

A. Appointment of Advisory Committee

B. Recruitment and Training of Staff

C. Location of Site

D. Establishment of Program Policies

E. Publicizing the Program

Under each of these headings there should be a narrative of the tasks that would go into the activity and the way in which these tasks would be carried out.

Since in describing these program activities it is necessary to refer to certain aspects of the overall administrative structure, it is good practice to also refer the reader to the section of the proposal where the administrative structure is described in more detail.

The program activities or services of the Center are well grouped in this part of the proposal. Their presentaing indigenous leadership and expertise within the community, both at the professional and communal levels.

Program Activities

The Center will be located in a central section of Plainview, readily accessible to railway and local bus service. It will be open six days a week, Monday through Saturday. Services will be available during both day and evening hours, and transportation will be provided to and from the Center when necessary.

Open forums will be held regularly at the Center on issues of particular interest to staff and community, such as the housing dilemma, welfare rights, employment, etc. These forums will be open to the community and representatives from both public and grass-roots organizations will be invited to participate.

DIRECT SERVICES

Structured Group Workshops: The purpose of these workshops is threefold: 1. to educate residents of their rights as citizens; 2. to provide support and encouragement by both group members and leaders, in exploring alternative solutions to specific problems in living; 3. to assist group members in achieving—collectively—a large measure of self-sufficiency and determination.

The workshops will be run by a

tion would be enhanced if the writers were more direct in showing the relationship of these activities to the objectives. This can be done in two ways. First by showing which activities are related to which objectives. The writers have done some of this under "1. Structural Group Workshops," in their discussion of the purpose of the workshops. However, the three purposes listed do not correspond to the way the objectives were stated in the Introduction section of the proposal.

The second way to make the connection between program activities and objectives is to explain how the activity will contribute to accomplishing the objective. The writers have accomplished this in a number of places in their discussion of the workshop activities.

Note that the word "system" so often used in the human service field has been clarified by the writers in the text by giving examples "(courts, welfare, hospitals)."

Although the series of workshops is adequately described in this proposal, the writers have not adequately described how people would be recruited, selected, and admitted into the workshops. This is a frequent omission in human service program proposals. It should be handled in a separate subsection on "recruitment and selection of participants" or "intake" or "admission to the program."

professionally trained staff member, experienced in that particular area, in conjunction with one community worker who has, ideally, had experience in negotiating the particular "system" in question (courts, welfare, hospitals).

Both community worker and professional will serve as advocates for group members in naming and following out a course of action. The workshops will be small in size, numbering between six and twelve members, and will meet weekly. Workshops will be organized around the following topic areas, with the understanding that groups will be modified or expanded in accordance with the needs of residents.

Legal Assistance Workshop: Will be run by a lawyer employed by the Center whose purpose will be to inform people of the law and their legal rights. The community worker serving as coleader will accompany people to court and legal aid, and in general, act as an advocate for that group member.

Employment Workshop: Will provide counseling regarding 1. careers: helping people decide what field to enter; 2. reentry: helping older people, or those who have been out of work for a long period, to get back into the labor force; 3. job rights: teaching people what their employment rights are under the law; how to fight job discrimination when it occurs; procedures for unionizing;

The proposal also reveals another weakness that often appears in the program section of human service proposals. That is, it does not provide summaries of the estimated number of people who will be served by each activity and in the aggregate. It also has not adequately described the characteristics of those who would be served in terms of the expected racial, sex, age, and problem backgrounds of the participants. Brief estimates of these items strengthen a proposal, since they convey careful planning and understanding of the program to the funder.

where to get specific job training.

Education Workshop: To assist those interested in further education to 1. identify and evaluate the skills they already have developed—either through life experience or jobs; 2. to explore available schools and educational programs and help choose those that best meet the person's needs.

Welfare/Public Assistance Workshop: To educate in regard to welfare rights; to inform of eligibility requirements and regulations of DSS, SSI, Medicaid, and social security; to directly assist in negotiating and receiving these services.

Health and Nutrition: To be run by a registered nurse, employed by the Center, and community worker. Purpose will be to discuss basic health needs and preventive measures, correct diet, and nutrition; and to identify what conditions warrant medical attention. When necessary, direct referrals will be made to the Plainview West Health Center and to the Plainview East Community Health Center.

Housing: Purpose will be 1. to directly assist people in securing safe, comfortable and low-cost housing; 2. to inform people of their rights as tenants; 3. to assist people when faced with housing discrimination; 4. to work in conjunction with other agencies such as Council of Churches Housing Bureau and the local action committee on issues and problems pertaining to housing.

Note an inconsistency in the titling of these activities. Each of the prior activities included the word workshop in the heading. The writers, perhaps in order not to be repetitive, have dropped that word. This inconsistency can raise a question for the reader of whether or not we are still talking about "workshops."

Family Problems: This group(s) will focus on specific marital problems such as separation and divorce, and examine issues relating to sex roles, the single parent, family planning, and day care.

In addition to these workshops, there will be crisis intervention, through both group and individual counseling. The primary purpose of this service will be 1. to offer support to persons who are suicidal and/or who are undergoing enormous stress due to death of a loved one, overuse of drugs or alcohol, loss of job, failure in school or work, serious physical illness, etc.; 2. to help find an immediate short-term solution to the presenting problem, and 3. to prevent, whenever possible, hospitalization.

A child-care service, run by two community aides, will be provided for residents attending the Center. Referrals will be made to Plainview Head Start and Day-Care Center for those needing extended day-care services.

REFERRAL SERVICES

The Center will organize and maintain an extensive *Data Bank* for referral services and information concerning jobs, housing, legal services, transportation, schools, consumer information, etc. The entire staff will be responsible for the maintenance and updating of the information and services contained in the bank. Residents referred to other community or service agencies will be urged to give

The writers are now describing a different type of program activity—"crisis intervention"—which is not a workshop. A new subheading should be used to emphasize that this is another activity.

Here is an example of another activity buried in the text. It should be highlighted by using the subheading "Child-Care Services."

the staff feedback (by way of phone call or short questionnaire) on the agency's responsiveness (or lack of it) to the resident.

Screening of services named in the bank will be an ongoing staff activity. In the initial stages of the program, a representative of the staff will be delegated to visit each agency in the area to determine the nature of and assist the effectiveness of that agency or program.

Coordination with Other Agencies

One of the stated objectives of the program is to promote the sharing of resources and to avoid unnecessary duplication of services. In addition to the regularly held forums, one or two representatives from other agencies within the area will be invited each month to open "community meetings," held at the Center. Initially, these meetings will serve to inform other agencies of our services and activities. The overall, and continuing, purpose of these meetings will be to discuss ways in which collectively we can be more responsive to the needs of the community. Open invitations will be extended to local civic groups and church groups in addition to service agencies.

Here, the writers have successfully made explicit the linkage between a program activity and an objective.

This shows the reader that the proposal writers have a knowledge of how to implement this activity. Giving an indication of the number of groups in the community that would be invited would make this even more convincing.

Program Evaluation

As the Multiservice Community Center is to serve as a model program for other communities, a major aspect of its design will be program evaluation. A detailed research design will be developed and implemented in cooperation with the funding agency in the beginning stages of the program. Progress reports will be made regularly.

Briefly stated here, the evaluation will take into account: 1. Utilization of Center services: who attends the Center, how often, under what circumstances, 2. Assessment of residents' attitudes toward and opinions of services, 3. Success in meeting primary goals and objectives, 4. Number of admissions to state hospitals from the Plainview area before and after establishment of the Center, 5. Measurable change within the community, 6. Impact of program on other community agencies.

It is evident that there is not a design for evaluation of the program. The writers are, in effect, saying that they recognize a need for an evaluation but would like to design it later. This may be acceptable to some funders, but it is advisable to clear this with the funding agency before submitting the complete proposal. Many funders would expect a more detailed statement of the evaluation.

ADMINISTRATION AND STAFFING

Community Advisory Committee

The Community Advisory Committee will be made up of individuals selected from the PSO Board of Directors, civic, church, and community leaders from within the Plainview community, and community representatives. The Community Advisory Committee will be responsible

The composition and responsibilities of all committees and boards. This is pointed out in this proposal but it would also be helpful to indicate the number of people who would be on the committee; and, if possible, to list their names and positions.

for making suggestions and recommendations to the Center Board of Directors on matters of program development and services, and act as a liaison between the community and Center to assure increased sensitivity toward the community it serves.

Board of Directors

The existing PSO Board of Directors will act as the primary policy and decision-making body to reflect the needs and scope of the Center as seen by the Community Advisory Committee. The board will meet once a month, and membership will encompass a wide range of business, mental health, legal, and community (both professional and civic) representation from Suffolk County.

The board will be directly responsible for insuring that the Center is continually providing high-quality services; that responsible personnel are staffing the Center, and directing their energies to programs that the community wants. The board of directors is the overseer and coordinator of the Center *for the community*. The executive director of the Center will report directly to the board on a monthly basis. The board of directors is also responsible for the maintenance of sound fiscal and personnel policies. Areas involving general responsibilities of the Center, especially on internal bases such as

A list of this existing board could be included in the capability statement that will accompany this proposal.

personnel and financial matters, will be handled by committees which will report directly to the board.

Executive Director

The Center director will be responsible for the overall running and day-to-day activities of the program. (S)he will have the major responsibility for the content, direction, and implementation of Center services, as put forth by the board of directors.

The director will sit on committees set up to coordinate finance, public relations, and personnel, and will report monthly to the board of directors. In addition, the director will work in conjunction with, and delegate responsibility to, two staff coordinators, for the supervision and training of staff.

QUALIFICATIONS:
The position will call for training and experience in the clinical, planning, and community organization aspects of social service delivery.

Staff Coordinators:

Two full-time positions. Responsible for working in a supervisory and training capacity in conjunction with

An organizational chart similar to the example shown in Figure 3 would help to clarify the board, committee, and staff structure that is being proposed.

For positions of major responsibility such as executive directors, a more specific statement of qualifications should be included, explaining minimum education and experience that will be accepted. Such as: "advanced degree in social welfare" and "3–5 years experience in administration of social agencies."

the executive director; in charge of organizing and overseeing the direct-service workshops, referral service, and coordination with other agencies. Will also participate in leading the education, housing, employment, and welfare workshops.

QUALIFICATIONS:
MSW, and minimum of five years' experience in community mental health services; thorough knowledge of the social service agency network.

The writers have, for the positions, provided the specificity they failed to include for other positions.

Psychiatrist:

One part-time position. Responsible for heading crisis-intervention workshop and individual counseling; making psychiatric evaluations, and prescribing and dispensing drugs when necessary. In addition, will participate in training of staff.

Where part-time positions are indicated, the amount of time should be explained, for example, "one half-time" or "100 days."

QUALIFICATIONS:
Position will call for experience with community mental health delivery, both community-clinic and -hospital aspects.

Psychologist:

One full-time position: will be responsible for running family workshop and share responsibility with the psychiatrist for evaluation and crisis-intervention counseling.

QUALIFICATIONS:
Training and experience in family counseling and child psychology.

Lawyer:

One part-time position; responsible for running legal workshop and consulting with staff on all legal matters.

QUALIFICATIONS:
Legal experience with economic problems, family problems, landlord–tenant problems, and criminal matters. Candidate with job experience in community legal-services agency preferred.

Nurse:

One full-time RN to run health and nutrition workshop, make referrals to appropriate agencies, such as health clinics and hospitals, and provide individual counseling on matters of health and nutrition.

QUALIFICATIONS:
Extensive experience in public health nursing.

Community Workers:

Two full-time positions for local residents. Responsibilities will include: acting as coleaders for direct service workshops; serving as liaison between clients and staff; acting as advocates for clients; making referrals for clients to other agencies when necessary; participating in outreach efforts to inform residents of the programs being offered.

Child-Care Worker:

Two part-time positions for community residents. Duties will include the supervision and care of children of clients attending the Center.

Bus Driver:

One full-time position; responsible for transporting residents to and from the Center and, when necessary, to other agencies.

Secretary:

Two full-time positions. Duties will include: obtaining intake information on new clients; referring clients to appropriate services or staff within the Center; maintaining files, data bank, and correspondence; taking minutes at Center meetings.

Receptionist:

One full-time position. Responsibilities will be to cover the telephones and to schedule appointments for clients.

In proposals with a fairly large staff complement, it helps to clarify the staffing pattern to include a summary chart that shows each job title, the number of people, and the level of effort (this is, amount of time). An example of such a summary chart for this proposal is shown in Table 4.

Table 4.
Summary of Staffing Pattern

POSITION	# OF PEOPLE	LEVEL OF EFFORT
Executive Director	1	full time
Staff Coordinator	2	full time
Psychiatrist	1	half time
Psychologist	1	full time
Lawyer	1	half time
Nurse	1	full time
Community Workers	2	full time
Child-Care Workers	2	half time
Bus Driver	1	full time
Secretary	2	full time
Receptionist	1	full time

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SAMPLE BUDGET

EXPENSES		
Personnel		
Salaries		
Executive Director 12 mos. @ 20,000 per annum	$20,000	
Program Director 9 mos. @ 16,000 per annum	12,000	
Counselor 12 mos. @ 14,000 per annum	14,000	
Secretary 6 mos. @ 8,000 per annum	4,000	
Total Salaries	50,000	
Fringe Benefits @ 25% of salaries of 50,000 (see budget-explanation note)	12,500	
Medical Consultant—10 days @ 100 per diem	1,000	
Total Personnel		63,500
Other Direct Expenses		
Office Rental 10,000 sq. ft. @ 1.00 per sq. ft.	10,000	
Telephone—3 apparatus @ 50 p.m. for 12 mos.	1,800	
Travel 5,000 mi. @ .20 = 1,000 4 return trips N.Y.-D.C. @ 100 = 400	1,400	
Supplies (detail provided in budget-explanation note)	1,000	
Equipment (detail provided in budget-explanation note)	2,000	
(Plus other items of direct expense)		
Total Other Direct Expenses		16,200
Total Direct Expenses		79,700
Indirect Expense or Overhead (see note) @ 50% of Salaries of 50,000	25,000	
Total Expense		104,700
INCOME		
Fees (basis explained in budget-explanation note)	5,000	
Total Income		5,000
Request		99,700

SUMMARY

Total Expense	104,700
Less Income	5,000
Net Request	99,700

MODULE VIII

CULMINATION:
EVALUATING A PROPOSAL

MODULE VIII

CULMINATION:

EVALUATING A PROPOSAL

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MODULE VIII

CULMINATION: EVALUATING A PROPOSAL

GOAL: The goal of this module is to allow the student to put into practice his/her knowledge of what makes a good proposal and budget.

OBJECTIVES: At the completion of this module, the student should be able to:

1. put into practice the knowledge gained through studying this unit.
2. Recognize the various components of a proposal.
3. Evaluate and critique the strengths and weaknesses of a proposal.

MODULE VIII

CULMINATION: EVALUATING A PROPOSAL

DIRECTIONS:

1. Read the **Proposal Checklist and Evaluation Form** by Norton J. Kiritz.
2. Read the **Proposal Selection.**
3. Develop a budget to accompany the proposal, based on the $530,967, three-year grant request.
4. Critique the proposal based on the **Proposal Checklist.**

PROPOSAL CHECKLIST AND EVALUATION FORM

Proposal Checklist and Evaluation Form

By Norton J. Kiritz

This form, designed for use in the Grantsmanship Center Training Programs, follows the format of "Program Planning and Proposal Writing" (see issue 29). It can assist the proposal writer in the preparation and improvement of a complete proposal. It is also an aid to the proposal evaluator in assessing the merits of a grant application.

Yes/No answers indicate whether or not an item is included. The numerical rating (1 is poorest, 5 is best) is for use where applicable.

Proposal Components and Necessary Items:

Summary: Clearly and concisely summarizes the request	Yes	No	1-5	**Comments on Summary**
1. Appears at the beginning of the proposal				
2. Identifies the grant applicant				
3. Includes at least one sentence on credibility				
4. Includes at least one sentence on problem				
5. Includes at least one sentence on objectives				
6. Includes at least one sentence on methods				
7. Includes total cost, funds already obtained and amount requested in this proposal				
8. Is brief				
9. Is clear				
10. Is interesting				

Norton J. Kiritz is the president of The Grantsmanship Center

(Kiritz, 1979)

I. Introduction: Describes the applicant agency and its qualifications for funding (credibility)	Yes	No	1-5	**Comments on Introduction**
1. Clearly establishes who is applying for funds				
2. Describes applicant agency purposes and goals				
3. Describes applicant's programs and activities				
4. Describes applicant's clients or constituents				
5. Provides evidence of the applicant's accomplishments				
6. Offers statistics in support of accomplishments				
7. Offers quotes/endorsements in support of accomplishments				
8. Supports qualifications in area of activity in which funds are sought (e.g., research, training)				
9. Leads logically to the problem statement				
10. Is as brief as possible				
11. Is interesting				
12. Is free of jargon				

II. Problem Statement or Needs Assessment	Yes	No	1-5	**Comments on Problem Statement/ Needs Assessment**
1. Relates to purposes and goals of applicant agency				
2. Is of reasonable dimensions—not trying to solve all the problems of the world				
3. Is supported by statistical evidence				
4. Is supported by statements from authorities				
5. Is stated in terms of clients' needs and problems—not the applicant's				
6. Is developed with input from clients and beneficiaries				
7. Is not the "lack of a program," unless the program always works				
8. Makes no unsupported assumptions				
9. Is free of jargon				
10. Is interesting to read				
11. Is as brief as possible				
12. Makes a compelling case				

III. Program Objectives: Describes the outcomes of the grant in measurable terms	Yes	No	1-5	Comments on Program Objectives
1. At least one objective for each problem or need committed to in problem statement				
2. Objectives are outcomes				
3. Objectives are not methods				
4. Describes the population that will benefit				
5. States the time by which objectives will be accomplished				
6. Objectives are measurable, if at all possible				

IV. Methods: Describes the activities to be conducted to achieve the desired objectives	Yes	No	1-5	Comments on Methods
1. Flows naturally from problems and objectives				
2. Clearly describes program activities				
3. States reasons for the selection of activities				
4. Describes sequence of activities				
5. Describes staffing of program				
6. Describes clients and client selection				
7. Presents a reasonable scope of activities that can be conducted within the time and resources of the program				

V. Evaluation: Presents a plan for determining the degree to which objectives are met and methods are followed	Yes	No	1-5	Comments on Evaluation
1. Presents a plan for evaluating accomplishment of objectives				
2. Presents a plan for evaluating and modifying methods over the course of the program				
3. Tells who will be doing the evaluation and how they were chosen				
4. Clearly states criteria of success				
5. Describes how data will be gathered				
6. Explains any test instruments or questionnaires to be used				
7. Describes the process of data analysis				
8. Describes any evaluation reports to be produced				

VI. Future Funding: Describes a plan for continuation beyond the grant and/or the availability of other resources necessary to implement the grant	Yes	No	1-5	Comments on Future Funding
1. Presents a specific plan to obtain future funding if program is to be continued				
2. Describes how maintenance and future program costs will be obtained (if a construction grant)				
3. Describes how other funds will be obtained, if necessary to implement the grant				
4. Has minimal reliance on future grant support				
5. Is accompanied by letters of commitment, if necessary				

Budget: Clearly delineates costs to be met by the funding source and those provided by other parties	Yes	No	1-5	Comments on Budget
1. Tells the same story as the proposal narrative				
2. Is detailed in all aspects				
3. Projects costs that will be incurred at the time of the program, if different from the time of proposal writing				
3. Contains no unexplained amounts for miscellaneous or contingency				
4. Includes all items asked of the funding source				
5. Includes all items paid for by other sources				
6. Includes all volunteers				
7. Details fringe benefits, separate from salaries				
8. Includes all consultants				
9. Separately details all non-personnel costs				
10. Includes indirect costs where appropriate				
11. Is sufficient to perform the tasks described in the narrative				

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PROPOSAL SELECTION

A VACCINATION AGAINST MENTAL ILLNESS

A VACCINATION AGAINST MENTAL ILLNESS?

Presented by: The Preventive Psychiatry Institute
101 "A" Street, N.W.
Washingt[illegible], D.C. 20001

(Brodsky, 1976: 97-114)

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BACKGROUND

The Concept of Preventive Medicine

Six centuries ago, half the population of Europe--more than 25,000,000 people--perished from the Black Death, more correctly known as plague. In more recent times, smallpox and cholera wiped out whole communities, and within a few months in 1918, over 20,000,000 people in this country alone were stricken with influenza, resulting in 450,000 deaths. Even more recently, and well within memory of most of today's generations, poliomyelitis epidemics caused suffering, paralysis, life-long maiming, even death for thousands, mostly children under 14 years old.

Today, many dread diseases have been brought under control, if not completely wiped out. Whereas smallpox epidemics in this country averaged 40,000 victims a year from 1900 to 1925, even one reported case today is worthy of headlines. Deaths from diphtheria and scarlet fever are relatively rare occurrences in modern medical experience. The incidence of polio has sharply declined, and measles, once considered as inevitable to growing up, is presumably doomed as a threat to children due to newly-developed vaccines.

For centuries, physicians have realized that to cure a disease was not enough. The disease itself had to be attacked before it could develop.

This concept of preventive medicine, correlating the fields of research and hygiene, has made and continues to make significant contributions to the health of mankind. However, research studies and hygiene developments would be ineffective without public understanding and cooperation. Thus, concentrated efforts for public education must be considered a "third arm" of preventive medicine and, in fact, have created a medical field called "public health."

To oversimplify preventive medicine, there are four stages of waging war on particular diseases, with the last two stages often overlapping in actual practice:

1. isolation of the cause of disease through research;
2. development of control of the cause, either through hygienic practices or medical procedures and treatments, and very often a combination of these two aspects;
3. application of control methods; and
4. public education to encourage acceptance, practice, and continuation of control methods.

The Two Major Categories of Health

The illnesses of man generally can be classed in two categories: the physical and the mental. However, these two aspects often are interwoven in the same disease and must be treated simultaneously. In fact, medical sources in this country state that in at least half of the medical and surgical cases treated annually, complications of mental illness also must be considered.

Going one step further and studying hospital census statistics, we find that 51 percent of all hospital patients in 1962 were patients in mental hospitals, both public and private. Today, and despite a decrease in mental hospital admissions through new treatment practices, more Americans are hospitalized for mental illness than for polio, cancer, heat disease, tuberculosis, and all other diseases combined, according to statistics compiled by the National Association for Mental Health.

To oversimplify once again and for purposes of context reference, it could be said that psychology as the science of the mind and behavior is to mental health, what anatomy or the study of organic structure is to physical illness. While efforts to treat man's physical ailments predate Biblical times and reflect almost constant (although slow) development, it is only recently that treatment consideration has been given to man's mental disorders.

The Birth of Modern Psychiatry

It is true that even in primitive times, the existence of an "element" in man beyond mere physical boundaries was recognized. However, at progressive stages in history, this knowledge generally was guided by superstition, mythology, religion, intellectualism, and even witchcraft. Valid scientific observations concerning psychology and psychiatry emerged through an "ebb and flow" pattern, often interspersed with centuries of inactivity and misconception, as opposed to an orderly increase in knowledge.

Although references to mental disturbances are noted as early as ancient Egyptian writings, these problems were considered the uncontestable work of displeased gods or underworld demons. A few centuries later, the early Greeks considered man's mental process in a purely philosophical context, despite the clinical observations made by Hippocrates in that era which looms as the first scientific approaches to psychology and mental illness. It wasn't until the second century A.D. that these observations were further explored by a Roman physician named Galen. He effectively challenged many imaginative notions (such as hysteria being restricted to women and caused by a "wandering uterus") by establishing that the brain was indeed the center of mental functioning and the "seat of the soul."

Despite this high point in scientific development, primitive witchcraft and demonology remained prevalent in medical thinking until well into the 18th and 19th centuries, even though periodic revelations of scientific logic were presented by such men as Bacon, Descartes, Hobbes, Locke, Hume, and the French physician Pinel, who revolutionized the operation of mental hospitals.

Thus, it was not until the early 19th century that beginnings of modern "anatomical" concepts of psychology emerged, followed by the realization that man does indeed become "sick" in his mind. Late in the 19th century and spanning the early years of this century, treatment of these illnesses finally was approached with development of various forms of psychotherapy.

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The Definitions of Mental Illness

Clearly, this complex subject involves whole shelves of books if dealt with comprehensively. However, certain broad outlines should be traced to establish a context.

Mental illness is simply the basic psychology of man--the "whys" of his behavior and reactions--gone wrong. Just as in physical illnesses, some mental disorders are mild, while others are severe, and still others fall somewhere in between. One of the greatest public misconceptions in medical history is the connotation of "insane" as applied to those suffering mental disturbances. Insane is not a medical term. It is a legal word, adapted in colloquialism by the unenlightened.

The public thinks of emotional disturbance as being temporary conditions which affect all people from time to time during periods of stress. In contrast, "mental illness" means severe derangement to the general public. However, and in the broadest sense of the terms, mental illness and emotional disturbance are actually the same.

While there are numerous forms of mental illness--just as there are countless types of diseases and physical illnesses--these disorders can be sorted into three classifications: the organic illnesses, caused by physical conditions; retardation, created by damage or lack of development; and the psychogenic disorders, which are attributable to any and all causes beyond those two considerations.

Organic mental illnesses are for the most part the eventual responsibility of the physicians, surgeons or neurologists. Retardation often is considered a specialty within the psychiatric field. The broad sense of mental health, in an admitted oversimplification and, for the purposes of this presentation, concerns the numerous psychogenic illnesses.

Psychogenic illnesses are often broken into two groups: the neuroses and the psychoses. (It is true that more thorough study of psychiatry produces two other types of psychogenic illnesses: personality and psychophysiologic disorders. However, for our purposes, these categories will be considered as psychotic illnesses.)

A neurotic by definition is an otherwise normal person who is inadequately adjusted in a limited area. On the surface, this term would apply to almost everyone since we all have personal quirks and peculiarities. Psychologists, however, consider this variance normal in human psychology. The abnormality of neurotic disease occurs when individuals either develop more neuroses than are normal or allow neuroses to gain control of their emotional and functional lives.

A psychotic (the condition colloquially termed as insane) is a person who has lost contact with reality as his subconscious mental processes overwhelm conscious control of thought and reason.

The Mental Health Picture in This Country Today

According to the National Committee Against Mental Illness and the National Institute of Mental Health, an estimated 19,000,000 people in this country suffer

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from mental or emotional illness, including about 4,000,000 children under the age of 14. That's roughly one in every ten persons. This ratio could be considered as epidemic, even by medical standards.

Dr. Robert Hughes, noted authority on rehabilitation, leading medical educator, and recipient of many awards, brings this statistic even closer to reality. "Every other home in the United States has some problem of mental illness in some degree at some time."

These mental illnesses range from mild to severe. But while all of these 19,000,000 people are considered as needing some form of psychiatric treatment (and between 500,000 and 1,000,000 of the children are considered so seriously disturbed as to need immediate help), just a little under 4,000,000 people of all ages are actually receiving treatment of any kind. Concerning the children, preliminary reports covering 600,000 children involved in Operation Head Start show that at least ten percent of the children had been crippled in development by severe emotional trouble by the age of four.

In considering this disrepancy between illness and treatment, two factors must be emphasized:

1. While certain medical ailments definitely linger, increase in severity, or become fatal if ignored, many other physical conditions react to recognized abilities of the human body to fight illness within itself. With mental disorders, however, no such "antibodies" exist. Mental illness, if left untreated, is far more likely to endure or become more severe.

2. When physical illness goes untreated, the implications are clear that the end result cannot be other than higher death rates, untold suffering from pain, loss of employment man hours, and incidence of infecting others when contagious diseases are concerned. But where mental illness is involved, not only can physical disorders (such as ulcers or heart disease) be induced in individual patients, but wide-sweeping implications to society as a whole are created.

Social Implications of Mental Illness

Mental illness or personality disorders are professionally recognized as significant causative factors in such public concerns as criminal tendencies, delinquency, suicide, alcoholism, narcotics addiction, accident statistics, many cases of divorce and, to some extent, the mass psychological motivation toward rioting and civil disturbance.

These social dangers cannot be minimized, nor should their relation to mental health in its broadest sense become distorted.

Regarding suicide, now the tenth leading cause of death in our country, very few cases involve psychotic individuals. However, work of the Center for Studies of Suicide Prevention, associated with the National Institute of Mental Health, indicates that suicides are, without exception, committed by "completely unhappy

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people, unable to cope with life stresses or undergoing either temporary or extended mental anguish." In other words, suicides are committed by persons suffering from either temporary or long-standing neuroses.

Alcoholism involves about 5,000,000 Americans and increases by an estimated 200,000 new cases each year. Of sociological impact are the facts that alcoholism engulfs over 20,000,000 family members, costs industry about $1 billion annually in absenteeism and other personnel problems and, according to the FBI, resulted in 1,700,000 arrests in 1963, the last year for which statistics are available. The correlation between alcoholism and mental health, long recognized by psychiatrists, is clearly indicated by the fact that one in seven admissions to mental hospitals is an alcoholic, the third-ranking cause of mental hospital admissions.

The Currently-Accepted Concept of Preventiveness in Mental Health

As stated earlier, preventive medicine has successfully abolished many diseases, gained almost routine public acceptance, and continuously reaches into new areas of concern. By contrast, preventive mental health concentrates on treatment of those already ill rather than prevention of mental disorders, is a relatively small area of interest (both publicly and professionally), and is more or less tradition-bound in future outlooks. This is not really surprising in light of the fairly recent acknowledgment and understanding of mental illness.

Rather than attempting to combat mental disease, as such, psychiatric research efforts and evaluations generally have concentrated on seven major areas:

1. determining causes of and factors contributing to mental illness
2. development of diagnostic techniques
3. exploration of better treatment (most noticeably, drug therapy) for those already ill aimed toward higher rates of cure and/or hospital release
4. study of different treatment methods to eliminate hospitalization in many cases
5. investigation of adjustment for mental patients or for those who are "cured" and are returning to society
6. study concerning mental retardation
7. development of more extensive training for professionals in this field

OUR VIEWPOINT OF PREVENTIVE MENTAL HEALTH

The Preventive Psychiatry Institute has no intention of minimizing the value and successes of existing mental health research. As a result of this work, for

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example, only one of every five persons receiving psychiatric treatment in 1965 was hospitalized. Regarding releases from mental hospitals, in the ten years between 1955 and 1965, such releases increased by 126 percent to where, in 1965, there were 912 releases for every 1,000 mental hospital admissions.

To cite other advances attributable to research in whole or in part, we enthusiastically recognize the development of drug therapy, diagnostic capabilities, treatment procedures such as psychodrama and legislative advances at both state and federal levels.

However, based on experience with our research project Basis, the Preventive Psychiatry Institute believes there should be a distinct and important departure from the current emphasis on treating people who are already ill. We believe the time has come for concerted efforts to guard against psychological damage by attacking and treating causative factors of mental illness at the time they occur and before they can erupt into actual neuroses and psychoses of later life.

What are the Roots of Mental Illness?

As recently as a few years ago, Dr. Linus Pauling, the Nobel prize winning chemist, published his belief that mental illness is caused by chemical imbalance stemming from genetic and dietary influences. Although Dr. Pauling is not alone in these opinions, by his own admission a vast amount of research lies ahead before this theory is unalterably proven. And there is no indication even from Dr. Pauling that such a theory could be proven as a "blanket cause" for all mental disorders.

Another theory of mental illness as it affects criminal tendencies has been studied for years by scientists on four continents and is currently of major importance in a case under trial in Italy. This is the theory of genetically-created chromosome abnormalities being responsible for overly hostile tendencies in men.

While initial studies do indicate a connection between such abnormalities and violent criminal behavior, even investigating scientists cautiously admit that the evidence is still limited and, thus, far from conclusive. According to Dr. Steven Collins, professor of genetics at the University of the West, for example: people with chromosome abnormalities "have a higher probability for getting into trouble, and I think they are predisposed to social difficulties. But genetics never means absolute fate."

In the eyes of the law, leading jurists and attorneys tend to doubt that such a theory could ever become admissible as sole defense. Louis Nizer, famed lawyer and author of My Life in Court, sums this position up well as he states, "It isn't enough to have a genetic or chemical defense of this type because Anglo-Saxon law never considered aggressive tendencies as grounds for a defense. The central question is whether the defendant is able to tell the difference between right and wrong. A genetic abnormality might only be used if it were the basis for a plea of insanity . . . that is considered in assessing the punishment, but not the guilt."

Barring further study and development of these theories, the majority of psychiatrists are convinced that the roots of most mental ailments lie in early childhood, are nourished by ensuing experiences, and flare up in adulthood through the "sparking action" of events or environments.

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For example, Dr. Eric Berne, noted practicing psychiatrist and author of many books including the widely-read Games People Play, has said: "An important factor in neuroses is the amount of unfinished business left over from childhood . . . the greater the amount, the more likely a neurosis is to occur in a given situation and the more severe it is likely to be . . . neurosis is not inherited, but its foundations may be laid in early infancy because of neurotic behavior of parents."

What Are Some Causes of Childhood Neuroses?

The psychiatrist refers to these factors by such terms as "childhood emergencies." The implication is that these emergencies are "childish," such as a lost toy or a birthday party missed because of measles. However, the emergencies to which we refer are by no means trivial. They are the same crises that evoke grief, anxiety, and often fear in adults. But, through mature senses of reality and a store of past experiences, adults normally can survive these emergencies without serious mental scars. In a word, "childhood emergencies" are as serious yet as commonplace in our world as life and death themselves.

In evaluating the children involved in Basis Project, for example, we find these childhood emergencies:

- death of father and/or mother
- life-long or prolonged absence of father in the home
- child himself fatally ill
- physical illness of mother and/or father during child's entire life
- severe maternal and/or paternal neglect
- divorce
- adopted status
- severe marital discord without divorce
- severe mental illness in the family

It is interesting to note that many of the Basis children are involved in more than one type of emergency at the same time. Other examples of such causative factors of childhood neuroses are birth of a deformed or deficient sibling, deformity or retardation in the child himself, witnessing or being the victim of a violent act, frequent moving of the family home, suicide in the family, and so forth.

It is not by any means to imply that all children living through such emergencies will develop later mental or emotional problems. Psychiatrists do agree, however, that such experiences in childhood increase the likelihood of eventual eruptions of disorders.

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Which Is the Most Volnerable Age Group?

Psychiatrists also are convinced that the age group most prone to such early emotional damage is the pre-school group for several theoretically valid (as well as common sense) reasons:

1. These children are almost exclusively under parental care and rarely under the influence or observation of outsiders who might be more intuitive and objective than most parents can be about their own children. Thus, emotional damage resulting from crises in pre-schoolers is more likely to go unnoticed than, for example, when children are in daily contact with school teachers.

2. Since very young children still have limited vocabularies, they cannot communicate their inner thoughts and emotions through obvious enough means for average parents to realize the depths of the child's confusion. Then, too, it must be remembered that parents themselves are also in a disturbed state at the time of crisis, and what communicative efforts children may make are often overlooked.

3. Since very young children have limited capacities to sustain strong emotions for more than brief periods of time, adults tend to conclude that this "rapid recovery" indicates adjustment to the crisis. As the adult assumed that the child is "over it" and tries to minimize further upset emotions, the child--who in reality may be suffering quite deeply--concludes that this new grief is no different from uncertainties over other new experiences which were treated lightly and normally by his parents. (For example, he may recall that Mother soothed his fears when he lost his first tooth by saying, "It happens to everyone," and thus he incorrectly judges the crisis-caused fear in the same context.)

4. Just as they learn to talk through imitation, these young children tend to watch grown-ups warily for clues as to how they are expected to react in times of crises. (In the case of a death, for example, an adult might feel he is "being strong for the child's sake" by curbing his emotions too tightly. In actuality, he may be forcing the bewildered child into mimicry of a stoicism in which he is incapable of handling inner turmoil over an event he may not even understand.)

5. Because the adage that "children are cruel" has some basis in adult viewpoints, parents tend to underestimate the emotional perceptiveness of children. In the course of watching grown-ups for behavioral clues, a child may realize quickly that by asking questions, talking about the crisis or displaying emotion, he upsets his parents. Soon, in order to "be good," he begins to keep his natural bewilderment more and more to himself.

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6. With their limited wisdom and adult encouragement of a fantasy world of fairy tales and Santa Claus, very young children are most inclined to imagine incorrect causes for events which are, more often than not, completely hidden from surrounding adults. (For example, referring to the death of a parent, a child might believe the terrible thing happened because of his own angry feelings when he was punished.)

7. Without the advantages of years and experiences beyond their limited worlds, small children are not equipped with outside interests to "take their minds off problems" and forestall excessive brooding. Nor do they have a perspective in which they can evaluate seemingly insurmountable problems.

8. And finally, it has been clinically established by psychologists that basic elements of individual human personality are fairly well established by the time a child reaches school age. In other words, what he is and will be has been determined to a large extent by the time a child is six or seven years old, and if psychological damage has gone uncorrected before then, it is difficult (and often impossible) to reverse in later years.

What Is The Preventive Step to Be Taken?

Obviously, the childhood emergencies themselves cannot be altered. A parent has died, leaving a vacuum in a very young child's life. A severely ill parent may be beyond medical help and physically unable to "be a parent." A violent act cannot be erased as time certainly cannot be retraced.

We feel that the most sensible action is to deal with crisis-caused anxieties at their inception before they can grow into severe, deep-rooted illnesses of later life. The methodology of such treatment is, we believe, surprisingly simple. It is applying the heart of mental illness treatment--psychoanalytic therapy--during the time of the crisis itself.

The child can and should be assisted in coping with and understanding his personal event or unalterable environment. He can be encouraged to express his inner confusion and, with trained psychiatric assistance, taught to evaluate and recognize his own feelings. He can be guided to face the reality of what has happened, rather than shove it to a "dark corner of the mind," where it waits for a future trigger to set off uncontrollable emotions.

THE PRECEDENTS OF THE BASIS METHOD

Pre-school children are not conversationally adroit, especially about emotions they cannot understand. But they are most eager to express themselves in imaginative group play and individual creative play. This is why the Basis method has adopted a nursery-school setting.

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Admittedly, we are not the first therapeutic nursery school. A number of these schools do exist, including the Hampstead Clinic in England, the Child Development Center in New York City, and the University Hospital Nursery in Cleveland. Additionally, a pilot project in Chapel Hill, North Carolina, treated a group of psychotic pre-school children twice weekly in a nursery school environment.

Despite these additional schools, as far as we know there is no precise precedent for the Basis method, in which a psychiatrist is directly in the classroom as an integral participant in the activities. This is the first time full-scale analysis has been conducted in a group with children as young as three to five years old, and the first time that deliberate psychoanalytic use has been made of the very young child's tendency to express subconscious urges through play.

The Basis method concentrates daily on the preventive aspect of psychiatry through classic child analytic methods, and, since its establishment three years ago, has treated a total of 22 children. Less than 20 percent of these children could be classed as psychotic. The majority of Basis children suffer from childhood neurosis which, as was pointed out earlier, simply means they are undergoing stress of emergency situations during or just prior to treatment.

THE RELEVANCY OF THE BASIS METHOD IN PREVENTIVE PSYCHIATRY

As we have stated, children undergoing stress cannot express their emotions through words but, instead, communicate through play. This type of play is not to be confused with pastimes all children enjoy. Communicative play is very serious business to the child, and either minimized or considered as alarmingly destructive by the untrained adult. The trained child psychoanalyst present in the Basis classroom cannot only interpret a child's thoughts through observing such play, but he can communicate back to the child through the same means to allow dialogue on the child's level of understanding.

Pre-school children normally are in a developmental phase when sharing of home intimacies is common. Despite this freeness, these children can suddenly become quite shy and reserved--if not completely hostile--in the presence of strange adults or when placed in a foreign environment.

For this reason, we feel that the physical aspects of the Basis project are ideal. Located in a neighborhood which blends residential and commercial zoning, the building is a specially renovated one-family dwelling. The outward appearance of an average home has been purposely unchanged, giving arriving children secure familiarity with their own home environments. In short, the children are not going to an institution or an office complex, but are entering a cozy, friendly place.

The Basis method's group atmosphere--involving four to eight children--offers a feeling of anonymity to the child, yet retains the warmth of free, relaxed, and normal association with other children. From the psychiatrist's viewpoint, group work provides an added benefit--through the very interaction with other children, an individual child reveals what would be withheld in a one-to-one session in a psychiatrist's office. Strangely, we have discovered that this interplay of children also encourages sympathetic assistance between the children and hastens an individual child's insight into his own disturbances by comparing them to problems voiced by other children.

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Because the Basis method relies on two trained nursery school teachers as well as the psychiatrist, the doctor is freed from supervisory tasks to devote his attention to treatment.

Actually the doctor can treat more children in a given period of time through this method than he could in an office or play room. This is true for a fairly simple reason: pre-school children by nature have extremely short attention spans, with interests that dart and dash continually. In the Basis method, the psychiatrist can use all the allotted time to treat children, rather than waiting patiently until an individual child's attention is recaptured. Then too, he can clinically utilize the reactions of individual children when he turns his attention to other children.

The employment of a teacher-psychiatrist team at Basis also has evidenced several other important benefits to the method.

1. The teacher-child relationship itself is a valuable psychoanalytic key to revealing individual adjustments with adults in general and "authority figures" in particular.

2. Through the additional emotional outlet with the teachers, the children can further avoid the uncomfortable aura of being treated by a doctor or being on constant display.

3. Since the teachers themselves are specially trained, the psychiatrist is afforded an objectivity of viewpoint and interchange of clinical assessment which is not common in usual one-to-one office practice.

4. After being in the classroom for an hour and a half, the doctor leaves one hour before the session is over. This ensures clinical viewing by the teachers of what happens after the "trip to the doctor's" which is obviously precluded in normal office practice.

5. Because Basis is a school, the children not only are increasing learning skills in preparation for formal schooling but also--speaking bluntly--the unspoken stigma of "going to the headshrinker's" is lessened among family, friends, and neighbors.

Finally--and perhaps most important of all--by utilizing a nursery-school framework, children can be given sequential treatment spanning two or three consecutive pre-school years from ages three to six. This is virtually impossible to accomplish in private practice mainly because of parental reluctance to involve themselves or their children so extensively in purely medical treatment. We should note here that Basis children leave treatment through the simple fact of growing up and going on to regular school, either public or private. In only one case (out of 22 children) has a parent withdrawn a child--and that was in the case of a fatally-ill mother who lived some distance away and was physically unable to transport the child for further treatment.

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ADDITIONAL METHODOLOGY OF THE BASIS PROJECT

In the preceding section, we had hoped to limit ourselves to outlining concepts of the Basis project, but this proved impossible as the principles of Basis are virtually inseparable from methodology.

We should point out that, although Basis utilizes an experienced child psychiatrist, the method is easily adaptable for use by analysts, psychoanalysts, and psyciatrists of all disciplines and specialties. While Basis teachers have been specially trained for this pilot period, the method is applicable for most qualified nursery-school teachers with a minimum of special instruction.

In the accepted procedure of most nursery schools, Basis studies children, parents, and home environments before admission, with the addition of more thorough clinical evaluations for individual children. To date, our children have been referred by medical doctors, psychiatrists, social and welfare workers, clergymen, educators, and similar sources.

Presently, budgetary limitations allow one morning class, but preclude an additional afternoon group. The class meets four mornings a week. Immediately after dismissal, teachers report their observations of events after the doctor left the classroom and, in joint session, the doctor and teachers dictate records of treatment processes for each child that day.

On the fifth day of the week, teachers meet with individual parents and, in turn, report these conferences to the doctor. Because of these meetings and the special training of the teachers, the doctor can--without impairing effectiveness--confer with parents once a month in addition to informal daily conversations about family events when the child is brought to the class in the morning. Of course, in event of major occurrences, the Basis parent-doctor relationship is readily adaptable for emergency or increased counseling.

Although the doctor and teachers work as a team, the teachers are solely responsible for educational aspects of the Basis method and apply traditionally effective educational principles in this segment of the program.

THE RESULTS OF THE BASIS PROJECT

Certainly, it must take years to evaluate the end result of Basis' work--that is, prevention of mental illness in adults. Of the 22 children treated in the project, 15 are now proceeding through regular schooling, with the oldest children presently in third grade.

During treatment, however, clinical findings showed that no child remained unimproved and no child showed increased disturbance. One-third of the children evidenced marked improvement, two children showed mild improvement and the balance of the children were classed as making moderate improvement between these two norms. It was also apparent, even at first glance, that mild improvement was evidenced as early as the first two or three months of treatment and the longer the treatment, the more marked the improvement. The average number of months required for moderate improvement was six, while ten months was the average for marked improvement.

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THE ACCOMPLISHMENTS OF THE PREVENTIVE PSYCHIATRY INSTITUTE

Created as a nonprofit public charitable trust in 1965 under the laws of Washington, D.C., and the United States Internal Revenue Service, Preventive Psychiatry Institute believes strongly that research and application of preventive psychiatry ultimately must depend on public education for acceptance, support, and implementation. For this reason, we have not confined ourselves to support of the Basis Project.

Other activities which have been supported and actively guided by the Institute include:

1. preventive psychiatry seminars individually slanted toward directors and teachers of nursery schools, clergymen, pediatricians, psychiatrists, and parents of young children
2. a program of preventively-oriented consultations for nursery schools
3. school assembly programs dealing with prevention of drug addiction
4. arranging addresses on preventive psychiatry and the Basis Project before civic organizations, medical and psychiatric associations, educational agencies, faculties and students at colleges and universities, and the like
5. assisting in placement of papers concerning preventive psychiatry and the Basis Project in medical and psychiatric journals
6. handling local publicity concerning these events as well as the concepts of the Institute and Basis themselves

Additionally, we have worked with the Yorkshire University Center for Continuing Studies and Lawrence Sullivan College in pilot programs of formal training for advanced students of social work and psychology. In each case, we facilitated placement of these students in the Basis Project for training in observation, psychotherapy case work, and teaching.

In the past, we have received financial assistance--both for general support and for special projects--from numerous individuals, parents or children under treatment (in gifts beyond tuition), charitable and religious organizations, corporations, and philanthropic foundations such as The Grove Foundation, Inc.; the Karl and Eric Felker Fund, Inc.,; The Paul and Anna Perl Foundation, Inc.; The Louis and Louise Harvey Foundation, Inc.; The Foundation for Psychiatric Research; and The Drover Foundation.

THE PROPOSAL

Admittedly, nothing has been attempted in the area of follow-up investigations of children once they have passed from the Basis method into public or private schools. We realize this need and have established contact with school officials who approve our plans and efforts. However, we simply have not been able to finance this program.

The value of such studies is apparent: if the method is to be completely assessed in terms of success and merit, the children under treatment must be followed in later years to determine the incidence of emotional regression or stability. A detailed budget and procedural outline for this project is included as an appendix.

Thus, we are asking that the Cooper Foundation consider support in the amount of $530,967 to facilitate a three-year evaluation and follow-up assessment of Basis children beyond the treatment ages.

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APPENDICES

A. Proposal Development Checklist

B. Criteria for Proposal Review: Foundations

C. Criteria for Proposal Review: Government Agencies

D. Shortcomings Found in Study Section Revview of 605 Disapproved Research Grant Applications to the Institute of Health

APPENDIX A

PROPOSAL DEVELOPMENT CHECKLIST

PROPOSAL DEVELOPMENT CHECKLIST

Section 1: Developing the Idea

HAVE YOU?

_____Developed a clear-cut statement of the problem or need that your idea is trying to address?

_____Determined what has been the experience of others with similar project ideas?

_____Gained an understanding of the previous literature and research addressing this same problem or idea?

_____Assessed the priority of your idea given other problems and needs that your organization should address?

_____Determined whether the idea is related to your organization's goals/ mission?

_____Discussed the idea with colleagues and administrators in your organization to see if they're willing to provide support for further planning and development of a proposal?

_____Determined what makes your idea innovative? Necessary? Timely? Significant?

_____Identified other factors which indicate why your idea should receive priority by your organization and others, particularly potential funding sources?

_____Identified the population that will benefit most from implementation of your idea and documented the extent of their need?

_____Gathered relevant statistical data both locally and nationally to help document the need and its importance?

_____Considered alternative approaches and means of implementing your project and analyzed the cost-benefit and potential impact of each?

_____Determined the feasibility of others replicating your project or using its results effectively?

_____Discussed the idea with potential participants or secured the opinions of the population to be served?

_____Met with local and state organizations to see if they are interested in participating in the project or are supportive of its goals?

(Hall, 1977:
327-39)

_____Identified the constraints or difficulties that should be anticipated in implementing the idea?

_____Classified the idea by function (i.e. research, development, training, service, institutional development) and considered the implications of this on the content and timing of the proposal? Considered the impact on the choice of funding source?

_____Decided whether your idea will result in a solicited or unsolicited proposal? Determined what this will mean in planning the proposal's development?

_____Written a short description of your idea and approach to assist in clearly communicating with others during preliminary planning?

Section 2: Assessing Your Capability

HAVE YOU?

_____Analyzed your personal ability to compete for external funds? Considered your professional reputation, prior experience, appropriate preparation and ability to write an effective proposal?

_____Identified whether you have alternatives to help increase your likelihood of success, i.e. securing a more experienced co-director, joining a consortium of applicants, submitting the proposal though another organization?

_____Made certain that your organization has the necessary legal basis to be eligible for external funds?

_____Identified the unique aspects of your organization that will appeal to funding sources?

_____Determined the kind and amount of help that will be made available to you in developing the proposal?

_____Considered the relative competitiveness of your organization vis-a-vis others who might be proposing the same idea? Or seeking the same funds?

_____Determined the reputation of your organization with potential funding sources?

_____Reviewed the adequacy of other colleagues who might be involved in the project as staff or administrators?

_____Determined the kind and amount of external professional or political support available to you?

_____Analyzed the adequacy of the environment in which the project would be implemented?

This handout taken from Developing Skills in Proposal Writing by Mary Hall, 1977. Available from Continuing Education Publications, P.O. Box 1491, Portland, OR 97207.

_____Reviewed the potential fiscal impact of the project on your organization and determined if there is the necessary time and money to support proposal development as well as project implementation?

_____Determined if your organization has the essential support systems to effectively compete for and administer external funds? If not, considered whether these could be provided by others?

Section 3: Identifying the Funding Source

HAVE YOU?

_____Considered the full gamut of types of funding sources that might be interested in your idea - private foundations, state agencies, federal agencies, private businesses and professional associations?

_____Consulted appropriate information sources to develop a preliminary list of possible sources of support?

_____Gathered the necessary information to identify those sources most worthy of immediate attention?

_____Identified the person with whom to communicate for each source?

_____Prepared an initial letter of inquiry or abstract to verify which of these sources might be most interested in your idea?

_____Asked these sources to provide any comments or suggestions on ways to improve your project idea?

_____Contacted the most likely prospects to gather all information necessary to guide proposal preparation? Made certain this includes deadlines, writing instructions, forms, regulations, guidelines, priority statements and any legal or fiscal requirements?

_____Identified the criteria and process used for proposal review and selection?

_____Talked to others familiar with the funding sources and reviewed previously approved proposals to gather informal information on things like language preference, proposal style and so forth?

_____Identified whether the funding source is likely to approve the project as a grant or contract and considered the implications of this for proposal content, submission, review and project operation?

_____Prepared and submitted a statement of capability or initiated a request to be placed on future bidder lists for contracts and requests for proposals?

_____Asked the funding sources to place you on their mailing list to receive future program announcements and any other information on external funding opportunities?

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_____Assessed the preferences, interests and priorities of the funding sources against the capabilities of yourself and your organization and selected the source most appropriate to receive the proposal?

Section 4: Planning the Proposal Writing

HAVE YOU?

_____Identified the components that should be in your proposal and outlined the kind of information that should be furnished in each section?

_____Collected the information necessary for writing the proposal and organized it for ease of presentation?

_____Prepared a timeline for proposal development and submission?

_____Identified all individuals and groups that must review and approve the proposal prior to submission and studied each of their requirements and processes?

_____Selected the individuals necessary to help write the proposal and made certain they understand their assignments?

_____Arranged for the necessary support systems for the proposal's development (such as typing, art work, editing and so forth)?

_____Arranged for one or more colleagues to read the proposal after it is written to check for typographical errors, clarity, effectiveness of communication and compliance with informational requirements of the funding source?

Section 5: Writing the Proposal — General Criteria

DOES THE PROPOSAL?

_____Use language and editorial style appropriate to the discipline and the funding source?

_____Establish the scholarship and competence of the applicant?

_____Read easily? Is the language clear and concise?

_____Use language that is intelligible to the non-specialist?

_____Call attention to the most significant points through the use of underlining, differences in type, spacing, titles and appropriate summaries?

_____Flow logically from section to section?

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_____Demonstrate a match between the various proposal components in degree of innovativeness? Appropriateness? Feasibility? Presentation (i.e. are the needs, objectives, procedures and evaluation obviously linked and directly addressed to each other)?

_____Include enough detail?

_____Obviously address the review criteria of the funding source?

_____Identify obvious constraints or problems associated with the idea or its implementation and indicate how these will be handled?

_____Make appropriate use of diagrams, charts and other visual displays?

_____Include appropriate and sufficient citations to prior work, research and related literature?

_____Provide all of the information requested by the funding source in the required format?

Section 6: Preparing the Title, Abstract, Forms

DOES THE PROPOSAL?

_____Have an appropriate and imaginative title? Is it descriptive? Suitable for indexing? Catchy?

_____Include a title page with the necessary information?

_____Have an appropriate and appealing cover?

_____Have a suitable binding?

_____Include an abstract that provides an effective and informative summary of the project? Does the abstract place appropriate emphasis on various components in the proposal? Does it state the outcomes of the project? Does it comply with the length or word requirements of the funding source?

_____Include all of the necessary forms and assurance statements?

_____Include appropriate attachments and appendixes?

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Section 7: Writing the Statement of Need

DOES THE PROPOSAL?

_____Demonstrate a precise understanding of the problem or need that the project is attempting to meet or remedy?

_____Clearly convey the focus of the project early in the narrative?

_____Indicate the relationship of the project to a larger set of problems and justify why its particular focus has been chosen?

_____Specify clearly what is not addressed by the project?

_____Establish the importance and significance of the problem/need - especially to a national audience?

_____Signify the potential generalizability and contribution of the project?

_____Provide effective coverage of related research and demonstrate how the project will build on these earlier studies?

_____Include citations to on-going studies as well as earlier research findings?

_____Establish the theoretical or conceptual base for the project?

_____Provide initial justification for the project's methodology and objectives?

_____Justify why the problem should be of interest to the funding source?

_____Include necessary statistical data?

_____Demonstrate the problem is feasible to solve?

_____Provide an appropriate and compelling introduction to the rest of the application?

_____Make the reviewer want to read further?

Section 8: Developing the Objectives

DOES THE PROPOSAL?

_____Include a very clear description of the project's objectives, hypotheses and/or research questions?

_____Signal the reader very clearly to the project's objectives? Has the writer avoided burying them in a morass of narrative?

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_____Demonstrate that the objectives are important, significant and timely?

_____Include objectives which comprehensively describe the intended outcomes of the project?

_____Include objectives that are well-written? Concise? Clear?

_____Demonstrate that the objectives, hypotheses and/or research questions flow logically from the statement of need and directly address the chosen problem?

_____Display the objectives appropriately? Signal the reader to the most important one's first? Show how the objectives relate to project hypotheses or questions?

_____State the objectives, hypotheses or questions in a way that they can later be evaluated or tested?

_____Demonstrate why the project's outcomes are appropriate and important to the funding source?

_____Include objectives of an appropriate type for the project (i.e. process, product, behavioral, research or performance objectives)?

_____Indicate that the project's hypotheses rest on sufficient evidence and are conceptually sound?

_____Justify that the project's outcomes are manageable and feasible?

Section 9: Writing the Procedures

DOES THE PROPOSAL?

_____Include procedures for every objective? Hypotheses? Research question?

_____Justify why the approach and methodology is suitable to the stated objectives?

_____Provide sufficient detail on the procedures so their adequacy can be evaluated?

_____Demonstrate that the procedures are feasible and likely to succeed?

_____Explain why the procedures are suitable to the amount of time and resources requested?

_____Provide a clear description and justification of the theoretical base of the methodology?

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_____Describe the procedures clearly so the reviewer easily understands what will take place during the course of the project period?

_____Make appropriate use of tables, diagrams and other visual displays and summaries?

_____Include information that addresses all of the questions asked by the funding source about the approach?

_____Present the procedures in a format so that they flow logically from section to section?

_____Demonstrate why the procedures are technically sound?

_____Clearly describe the project's population and how it will be selected?

_____Include a description of any accomplishments-to-date of the applicant that bear specifically on the project?

_____Describe any information to be gathered, instruments to be used, timetable and procedures for collection, analysis, reporting and utilization?

_____Signal the reader to a summary of the intended results, benefits or anticipated products of the project?

_____Demonstrate that the procedures are scholarly and imaginative?

_____Describe how the project will make certain that its results are generalizable and useable? Especially addresses how any potentially contaminating factors will be identified and controlled?

_____Include a discussion of how unanticipated events and problems will be addressed?

_____Clearly discuss the intended role of the funding source in monitoring the implementation of the procedures? Indicate the type and amount of information to be provided to the funding source to assist with its monitoring?

Section 10: Describing the Evaluation

DOES THE PROPOSAL?

_____Describe why evaluation is needed in the project?

_____Provide a definition of what is meant by evaluation?

_____Clearly identify the type and purpose of the evaluation and the audiences to be served by its results?

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_____Demonstrate that an appropriate evaluation procedure is included for every project objective?

_____Provide a general organizational plan or model for the evaluation? Justify its technical and theoretical soundness?

_____Demonstrate that the scope of the evaluation is appropriate to the project? Discuss the model's flexibility, feasibility, relevance, reliability, objectivity, generalizability, representativeness?

_____Describe what information will be needed to complete the evaluation. the potential sources for this information and the instruments that will be used for its collection?

_____Provide sufficient detail to demonstrate the technical soundness of all data collection instruments and procedures?

_____Identify and justify procedures for analysis, reporting, utilization?

_____Define standards that will be used in judging the results of the evaluation?

_____Clearly summarize any reports to be provided to the funding source based on the evaluation and generally describe their content and timing?

_____Identify any anticipated constraints on the evaluation?

_____Discuss who will be responsible for the evaluation and the role of any consultants or external personnel?

Section 11: Developing Dissemination

DOES THE PROPOSAL?

_____Indicate why dissemination activities are important to the project?

_____Clearly identify the intended outcomes of the dissemination effort?

_____Include a feasible and appropriate plan for dissemination?

_____Succinctly describe any products to result from the dissemination effort?

_____Demonstrate that the applicant is well-grounded in theory and research on the dissemination and utilization of knowledge?

_____Provide sufficient detail on proposed dissemination procedures to justify the budget request?

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_____Include dissemination strategies and procedures that are imaginative and suitable to the project and its limitations?

_____Specify clearly who will be responsible for dissemination and why they are capable?

_____Speak to internal as well as external project dissemination?

_____Provide techniques for evaluating the effectiveness of the dissemination/utilization efforts and products?

_____Indicate why the dissemination will get the necessary information to the appropriate audiences in a form they can use when they need it?

_____Lay the groundwork for approaching the funding source at a later date with another proposal focusing exclusively on dissemination/utilization of the results expected from the current effort?

Section 12: Describing Personnel and Facilities

DOES THE PROPOSAL?

_____Describe the role, responsibilities or assignment of each member of the project staff?

_____Identify the role and responsibility of consultants?

_____Show how the project staff and major consultants complement and balance each other and provide the breadth of experience and skills necessary for the project?

_____Provide the names and qualifications of all key project staff and give sufficient detail on their experience and training to justify their capabilities?

_____Describe how any staff and/or consultants not yet identified will be recruited and the criteria for their selection?

_____Indicate how state and federal laws governing affirmative action and non-discrimination in personnel selection will be implemented?

_____Describe the organizational and management structure of the project?

_____Define any intended role of advisory boards?

_____Include evidence that consultants and external organizations essential to the project's success have agreed to participate?

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_____Signal the readers easily to which staff will be responsible for what set of procedures and other project activities?

_____Clearly identify the facilities and major equipment needed for the project?

_____Show which facilities and equipment are available and which must be acquired after the project starts?

_____Direct the reader's attention to any facilities, equipment or special capability of the organization that enhances the likelihood of the project's success, and the applicant's uniqueness and competence?

_____Show that the applicant is aware of all policies of the funding source governing personnel, facilities and equipment?

Section 13: Preparing the Budget

DOES THE PROPOSAL?

_____Show that the applicant is aware of all regulations of either the local organization or the funding source governing the project's budget development and administration?

_____Include sufficient resources to carry out the project's procedures and achieve its objectives?

_____Provide some way to refer the reader back to that portion of the proposal's narrative which justifies major budget categories?

_____Present the budget in the format desired by the funding source?

_____Provide sufficient detail so the reviewer can understand how various items were computed?

_____Separate direct costs from indirect costs and describe what is covered in the latter?

_____Include sufficient flexibility to cover unanticipated events?

_____Organize the budget so the general utilization of dollars can be compared to phases of the project?

_____Specify the type and amount of any matching funds or cost-sharing?

_____Include any attachments or special appendixes to justify unusal requests?

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Section 14: Preparing for Review. Submission Notification and Renewal

HAVE YOU?

_____Read the final proposal carefully to check for typographical errors and to be certain that all requirements of the funding source have been met?

_____Checked your proposal against the research on why applications are rejected and made certain that you've avoided the same mistakes?

_____Made preliminary contacts with everyone who must review and approve the proposal prior to its submission and left the necessary time to complete these steps?

_____Made certain that the proposal is cleared through the A-95 process, if necessary, and that it is routed to all appropriate external agencies?

_____Obtained the necessary original signatures on the correct number of title pages?

_____Made the necessary number of copies of the proposal and used the correct duplication process?

_____Secured an appropriate letter of transmittal?

_____Included letters of support from relevant audiences?

_____Determined whether the submission deadline is a mailing deadline or a receipt deadline?

_____Identified the best method for getting the proposals to the funding source?

_____Determined how and when the funding sources will notify you of the proposal's receipt?

_____Found out how the funding source will review your proposal and the criteria that will be used?

_____Obtained copies of any forms used by the funding source for review?

_____Made arrangements to obtain copies of reviewer comments?

_____Determined how you will be notified if your project is approved and if negotiation is required?

_____Discussed with more experienced persons how to approach negotiation?

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_____Arranged to have your organization's administrator or business officer present during negotiations?

_____Given some thought to ways in which the budget might be cut and the necessary modifications that should be made in project objectives and procedures?

_____Identified any increases in the budget that are needed because of factors that have occurred since the proposal's submission?

_____Determined the procedures that will be followed by the funding source during negotiations and allocated sufficient time for this process?

_____Requested that you be given, in writing and in advance, the major items that the funding source expects to negotiate?

_____Determined when you will have to start efforts to get your proposal refunded?

_____Identified the information that will be required in the continuation or renewal request and initiated steps to see this is collected?

_____Planned a timeline for developing the renewal request?

_____Identified some other funding sources that might be interested in future phases of the project once the current source of support has ended?

_____Begun preliminary discussion and contacts with other possible sources of support and developed a long-range plan for continued financing of the project activites and its possible spin-off ideas?

_____Discussed with your organization the extent of support for project personnel and activities that can be expected once external funds are ended?

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APPENDIX B

CRITERIA FOR PROPOSAL REVIEW: FOUNDATIONS

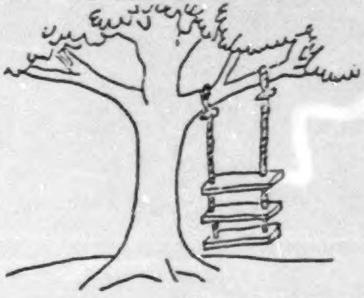
CRITERIA FOR PROPOSAL REVIEW

To fully appreciate what is expected of a proposal one needs to understand the various ways it will be judged and what an outsider will ask of it. Some agencies send proposals to one or more individuals for review; others bring the reviewers together to review and to make recommendations concerning proposals. The following pages give samples of the kinds of guidelines given to reviewers. Read these various requirements for review and the questions that must be answered. The order and the wording of the forms may vary but the questions do not.

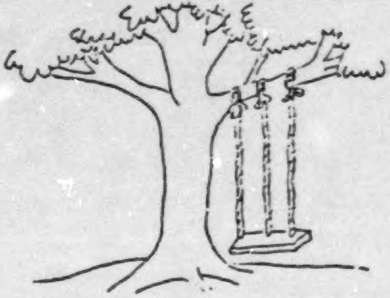
Ask several of your colleagues to apply the HEW review questions to your proposal. Would they reject it? fund it? or suggest changes to clarify and strengthen it?

Following the sample review criteria from various foundations and agencies is a list of shortcomings from NIH proposals. The problem hasn't changed since these data were compiled.

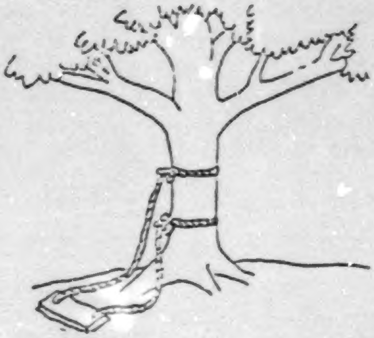
We couldn't resist this old cartoon from a U.S.I.A. bulletin.



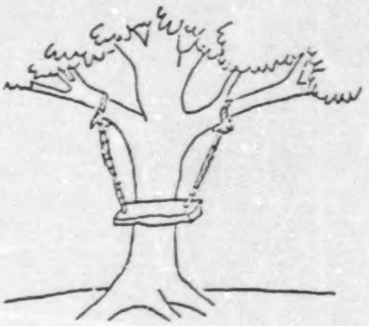
As proposed by the project sponsor.



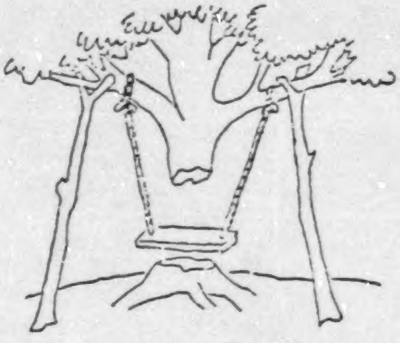
As specified in the project request.



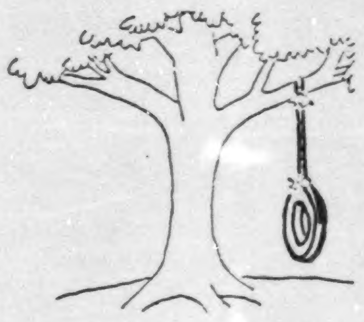
As designed by the senior analyst.



As produced by the programmers.



As installed at the user's site.



What the user wanted

(Belcher and Jacobsen, 1976: YP V i)

EXAMPLE OF CRITERIA USED BY PRIVATE FOUNDATIONS*

GENERAL CRITERIA

1. Is anyone else doing this particular project or taking this particular approach?

2. Is there a need for this?

3. Is the proposal sound? Who are the people involved? What is the genuineness of the problem? What is the possibility of success?

4. Is there a plan for using research methods in the planning stages of the program or proposal? Is there the possibility of a sound evaluation plan being built into the proposed activity? Can evaluation be used in a "formative" way to yield information on a rolling basis to help shape and reshape the program as it is developed and as it progresses?

5. Are there checkpoints along the way for easy monitoring once the proposal is approved and funded?

6. Can conclusions be drawn about success or failure? Are there measurable outcomes?

7. Can evaluation be done as a "summative" approach to give specific answers at the completion of a project?

CRITERIA FOR JUDGING THE PROPOSAL CONTENT AND ORGANIZATION

1. Program Aspects. Is there a clear statement of the problem? Is there a clear statement of the project's impact on the problem? A statement of the significance of the project as perceived by the possible grantee? An indication of the possible uniqueness of the effort? A clear description of the work program? A time frame specified? An acknowledgement of possible overlap with other efforts? An evaluation plan? Anticipated products or outcomes?

2. Personnel. Can the people do what they have set out to do and is sufficient information included to judge their competence? Has a vita been included on principal people involved in the project and a specification of the amount of time each person will spend on the proposed project?

3. **Budget and Legal Facts.** Is the total budget picture for the project included? Are sources of other support identified? What specific plans exist for carrying out the program if it proves feasible once foundation money has ceased? What is the tax status of the group asking for funds?

*Margaret F. Mahoney (see citation in chapter references)
(Mahoney, 1976: 33)

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The following review suggestions are from a private foundation.

HELPFUL HINTS IN ANALYZING A PROPOSAL

ELEMENTS TO CONSIDER	QUESTIONS TO ASK	IN-HOUSE KNOWLEDGE	OUTSIDE KNOWLEDGE
NEED	Who is assessing the need? Comparative figures Is program really charitable? (IRS tax-determination imperative; make sure proposal meets WCT guidelines)	Minority employment served Training needs Geographic area (branch banks) Customer relationships	Metropolitan Cultural Alliance United Community Planning Council Associated Foundation of Greater Boston Governmental Agencies Other Foundations (Permanent Charities)
OBJECTIVES	Is there a goal? What is it? Is it realistic?	Experience with other similar proposals Experience in bank with similar objectives (training, recruiting, etc.)	
PROGRAM	Has it been tried before? What was result? What specific methods are being used to take advantage of other resources?	What other similar programs is Bank involved in? (Direct or indirect, i.e, United Way.)	
BUDGET	(In reviewing proposal budget, we should carefully screen to see if sound accounting practices are employed. See pg.) *This refers to the organization's guideline*		
MANAGEMENT	What is the role of the organization's Board of Directors? Is group viable (i.e., do they supervise policy - check internal operation, etc.)?	Experience with corporate Board or Bank staff serving on organization's Board of Directors	*(continued)*

(Belcher and Jacobsen, 1976: YP V iii a - YP V iv)

YP V iii a

ELEMENTS TO CONSIDER	QUESTIONS TO ASK	IN-HOUSE KNOWLEDGE	OUTSIDE KNOWLEDGE
MANAGEMENT (contd.)	How are staff and clients recruited? Does staff member have job definition? Are local people in neighborhood employed?) Do they have adequate insurance, licensing, etc?	Compare B and C with Bank experience	
BUILDING	(Refer to Organization's Guideline)	Use Bank/management expertise in evaluation process (i.e., is this a good investment?)	
EVALUATION	Criteria for evaluation should be pre-established. What is being measured? Is progress being made? On-site visits Reports from organization		
FUNDING	Where is funding coming from? Is funding objective realistic? Is it capital vs. operating funds? Will funds be needed for continuation of project in future years (i.e., will new facility create greater future budget needs?)?	What are alternatives to assisting project vs. direct financial aid? Examples: A. MeCA-Bank matching contributions/memberships B. Loan vs. grant C. Volunteer activity - staff help	AFGB computer list re current funding to similar organizations Is this funded through United Way? Are other corporations supporting this project - local contacts, "Givers' Group" data, etc.

This is a foundation official's advice to a reviewer concerning the budget.

REVIEWING A PROPOSAL'S BUDGET

The proposal should provide:

1. A projected income and expense statement for the year for which funding is being sought, as well as a statement of actual income and expenses for the previous year.

2. If the request is for a special program or capital project, budgets for the program or project should be included in addition to the agency's overall budget.

3. The income statement should itemize by category amounts received from:

   fees
   donations
   fund-raising events
   government contracts or grants
   United Way allocations
   foundation grants
   individual contributions
   other

4. The expense statement should itemize expenditures within the the following categories:

   salaries
   fringe benefits
   social security
   rent
   utilities
   materials and supplies
   other (consultant fees, transportation costs, etc.)
   equipment needs

5. Provide an audited financial statement if available.

(Belcher and Jacobsen, 1976: YP V ii)

APPENDIX C

CRITERIA FOR PROPOSAL REVIEW:

GOVERNMENT AGENCIES

EXAMPLE OF SPECIFIC CRITERIA DEVELOPED TO JUDGE A REQUEST
FOR PROPOSAL (RFP) ISSUED BY THE NATIONAL INSTITUTE OF EDUCATION

PROPOSAL EVALUATION CRITERIA

NIE will consider the merits of each submission in accordance with the evaluation criteria and weightings set forth below. All offerors are required to provide sufficient information in their proposals to permit evaluation by reviewers on all factors covered by the following criteria.

A. Problem Definition. Significance of the proposed project, as measured by the following factors (30 points):

   1. Potential of the project for improving educational practices and resolving educational problems at the local level.

   2. Likelihood that the experience acquired through this project will expand the dissemination knowledge base.

   3. Evidence of importance of selected problem area in terms of user needs and user commitment to the project.

B. Equal Educational Opportunity. Potential contribution of the project to the achievement of equal educational opportunity (20 points):

C. Technical Quality of Proposal as evidenced by the following factors (40 points):

   1. Quality of technical work plan as measured by:

      - Soundness of proposed project objectives and potential for being achieved.

      - Appropriateness of proposed sequencing/phasing of activities and adequacy of time and resources allocated to each phase of program operation.

   2. Appropriateness of proposed technical services as measured by:

      - Quality of plans for achieving sustained local school involvement in project planning and implementation;

      - Extent to which proposed services reflect intent to be responsive to user needs.

(Hall, 1977: 315-16)

3. Appropriateness of evaluation activities as measured by:

   - Quality of proposed major evaluation activities and tasks to be undertaken by program contractor to improve project management;

   - Evidence of local clients' willingness to permit collection of data for evaluation purposes.

4. Soundness of the plan for involving a variety of agencies in the project activities as evidenced by the potential effectiveness of linkages proposed among involved agencies.

D. Capability of the offerer to carry out the proposed project as measured by the following factors (30 points).

1. Strength and experience of each of the key individual organizations participating in the project, and the appropriateness of this collective experience in terms of the educational problems addressed by the proposed project.

2. Capabilities, experience and time commitment of the proposed project director, evaluation director, project staff, and staff of subcontracting organizations.

3. Adequacy of management structure to integrate the performance of activities at different sites by various subcontractors.

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Below are NEH's Research Grant Review Criteria:

NATIONAL ENDOWMENT FOR THE HUMANITIES
DIVISION OF RESEARCH GRANTS

As part of the Endowment's mandate to help the nation develop its humanistic resources as a necessary complement to its scientific and technological achievements, the Division of Research Grants is responsible for strengthening American scholarship. In particular, the Division's programs are aimed at building up the nation's materials and resources necessary for conducting humanistic research.

Applications pass through an extensive review process. All Endowment grants are made by the Chairman, who acts on recommendations made by the National Council on the Humanities. Research Grants proposals are considered at Council meetings in May and October.

Prior to Council consideration, each proposal is submitted for individual review to a number of specialists in the applicant's field. Expert reviews form the basis of a comparative evaluation of all applications received by a panel of distinguished humanists to consider proposals and make recommendations on funding to the National Council. Thus, while applicants formally submit their proposals to the Endowment, the proposals are evaluated by peers and colleagues in the scholarly community.

Owing to the Endowment's still very limited resources, only a small proportion of applications can be funded. These constitute projects of clearly established significance to humanistic knowledge, proposed by persons of scholarly achievement or clear promise in their fields. Such considerations are central in the review and evaluation process. If the application(s) we have sent you do not fall into your own area of expertise, we would appreciate any suggestions for reviewers you might offer.

# # #

MERIT RATINGS: These comments on the meanings of rating terms may be helpful to reviewers in rating proposals.

(5) SUPERIOR	- Project is of the highest research importance, and is being undertaken by qualified personnel who can make a major contribution to the humanities. Top priority for support.
(4) VERY GOOD	- Project and staff are strong. Although project does not stand in the forefront of research needs in the field, it should be supported if funding is available.
(3) AVERAGE	- Project idea is routine; plans and/or personnel are inadequate to make a significant contribution to the field. Support only if all other more highly-rated projects are funded.
(2) POOR	- Project proposal exhibits major flaws. Does not deserve support.
(1) INCOMPLETE	- Important specific information is missing: In this instance it would be helpful if you could indicate what areas the applicant might pursue.

(Belcher and Jacobsen, 1976: YP V iv a - YP V v c)

YP V iv b

Division of Research Grants

PROPOSAL RATING SHEET Applicant:_______________ Log No. H-____

Reviewer comments on proposals to the Research Grants Division are the primary basis on which requests for support are evaluated. The following questions indicate the kinds of considerations to which your responses would be most helpful: (1) How pressing a research need does the project fill? (2) Does the proposal demonstrate a clear anticipation of problems that are likely to occur, and an awareness of relevant scholarship and available resources? (3) How does the applicant's background (education, publications, professional standing) clearly qualify him or her to carry out this project successfully? (4) Is the budget sound? (5) In general, does the proposal bear major promise as a significant contribution to the advancement of research in the humanities? (6) In comparison with other projects or research needs in this field, what funding priorities should be placed on this project?

MERIT RATING. Please check your overall assessment of the merit of this project. (Rating terms are defined on the reverse side.) Endowment funding is still very limited and in the past has permitted support only for top priority projects. It is most important, therefore, to distinguish carefully between "Very Good" and "Superior" projects.

_____(5) Superior
_____(4) Very Good
_____(3) Average
_____(2) Poor
_____(1) Incomplete Proposal

NAME:_______________
DEPT:_______________
INSTI:_______________
CITY/STATE:_______________

(Feel free to give your evaluation in a separate letter rather than on this form. Use additional sheets as necessary.)

This is OE's Review Criteria:

APPLICATION TECHNICAL REVIEW FORM

Program Title: USOE Discretionary Grant Program

Catalog of Federal Assistance Number 13.599

APPLICANT:

PR Number #____

NAME: ______________________

ADDRESS: ______________________________

CITY/STATE ____________________________________ZIP CODE_______

TECHNICAL REVIEWER

Name: ______________________________

____

Phone: ______________________________

Program Title: ______________________________

Project Title: ______________________________

COMMENTS: Recommend Federal Support Yes____ No____

Date Reviewed _______________________ Signature __________________

EVALUATION CRITERIA	Yes	No	Comments	(Optional %) Weight Factor
MANAGEMENT - Identify the applicant's organizational elements, and describe how they function internally, including subcontracts, to insure the project is accomplished within the time limits and resources available.				
1. Is the proposed plan of operation sound? Consideration of soundness should include the following points: Are the objects of the project capable of being attained by the proposed procedures and capable of being measured?				
Are provisions made for adequate evaluation of the effectiveness of the project and for determining the extent to which the objectives are accomplished?				
Where appropriate, are provisions made for satisfactory inservice training connected with project services? and,				
Are provisions made for disseminating the results of the project and for making materials, techniques, and other output resulting therefrom available to the general public and specifically to all those concerned with the area of education with which the project is itself concerned?				
2. Published Application Review Criteria				
FINANCE & ACCOUNTING - Provide adequate project cost details to support the proposed budget in relation to the anticipated end results.				
1. Is the estimated cost reasonable to the anticipated results?				
COMMENTS:				

EVALUATION CRITERIA	Yes	No	Comments	(Optional %) Weight Factor
ORGANIZATION - Describe the applicant's background, facilities and personnel expertise as it relates to performing the proposed project.				
1. Are the qualifications and experience of applicant's personnel adequate to carry out the proposed project?				
2. Are applicant's facilities and other resources adequate?				
3. Published Application Review Criteria				
PROGRAMATIC - Define all the work and related resources required to perform the applicant's proposed project pursuant to the applicable regulations.				
1. Is the proposed activity needed in the area served or to be served by the applicant?				
2. Is the proposal relevant to priority areas of concern as reflected in provisions contained in the applicable Federal statutes and regulations?				
3. Is there potential for utilizing the results of the proposed project in other projects or programs for similar educational purposes?				
4. Are the size, scope and duration of the project sufficient in order to secure productive results?				
5. Are the objectives of the proposed project sharply defined and clearly stated?				
6. Published Application Review Criteria				
COMMENTS:				

APPENDIX D

SHORTCOMINGS FOUND IN STUDY SECTION REVIEW OF 605 DISAPPROVED RESEARCH GRANT APPLICATIONS TO THE INSTITUTE OF HEALTH

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SHORTCOMINGS FOUND IN STUDY SECTION REVIEW OF 605 DISAPPROVED RESEARCH GRANT APPLICATIONS TO THE INSTITUTE OF HEALTH,

APRIL - MAY 1959

Shortcoming

Class I: Problem (58 percent)

	Percent
1. The problem is of insufficient importance or is unlikely to produce any new or useful information.	33.1
2. The proposed research is based on a hypothesis that rests on insufficient evidence, is doubtful or is unsound.	8.9
3. The problem is more complex than the investigator appears to realize.	8.1
4. The problem has only local significance, or is one of production, or control, or otherwise fails to fall sufficiently clearly within the general field of health-related research.	4.8
5. The problem is scientifically premature and warrants, at most, only a pilot study.	3.1
6. The research as proposed is over-involved, with too many elements under simultaneous investigation.	3.0
7. The description of the nature of the research and of its significance leaves the proposal nebulous and diffuse and without clear research aim.	2.6

Class II: Approach (73 percent)

8. The proposed tests, or methods, or scientific procedures are unsuited to the stated objective.	34.7
9. The description of the approach is too nebulous, diffuse, and lacking in clarity to permit adequate evaluation.	28.8
10. The over-all design of the study has not been carefully thought out.	14.7
11. The statistical aspects of the approach have not been given sufficient consideration.	8.1
12. The approach lacks scientific imagination.	7.4

*Allen, Earnest M. (NIH) *Why Are Research Grant Applications Disapproved?* Science, Nov. 25, 1960, p. 1553.

(Hall, 1977: 323-24)

13. Controls are either inadequately conceived or inadequately described. 6.8

14. The material the investigator proposed to use is unsuited to the objectives of the study or is difficult to obtain. 5.6

15. The number of observations is unsuitable. 2.5

16. The equipment contemplated is outmoded or otherwise unsuitable. 1.0

Class III: Man (55 percent)

17. The investigator does not have adequate experience or training or both, for this research. 32.6

18. The investigator appears to be unfamiliar with recent pertinent literature or methods, or both. 13.7

19. The investigator's previously published work in this field does not inspire confidence. 12.6

20. The investigator proposed to rely too heavily on insufficiently experienced associates. 5.0

21. The investigator is spreading himself too thin; he will be more productive if he concentrates on fewer projects. 3.8

22. The investigator needs more liaison with colleagues in this field, or in collateral fields. 1.7

Class IV: Other (16 percent)

23. The requirements for equipment or personnel, or both, are unrealistic. 10.1

24. It appears that other responsibilities would prevent devotion of sufficient time and attention to this research. 3.0

25. The institutional setting is unfavorable. 2.33

26. Research grants to the investigator, now in force, are adequate in scope and amount to cover the proposed research. 1.5

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